



Canada Border
Services Agency

Agence des services
frontalières du Canada



eManifest Project Recovery

Delivery Approach

Briefing to the Executive Committee (EC)

June 26, 2014



PROTECTION • OFFICIO • INTEGRITAS

Canada

Background

- On April 24, 2014 Options Analysis for eManifest Project Recovery were presented to Executive Committee (EC)
- EC approved the project team to proceed with the detailed planning, risk mitigation and third party endorsement activities for Option 2 - a hybrid delivery model addresses four (4) main risk areas and focuses on augmenting the current team competency and capacity with different forms of vendor relationships
- On May 9th 2014 a draft Detailed Project Plan with costs was presented to the AVP ISTB
- On May 30th 2014 preliminary findings from the 3rd party risk mitigation activities (architecture review, benchmarking, and sourcing analysis) were delivered
- On June 9th 2014 the 3rd party draft risk assessment report was delivered identifying remaining risk areas for the Option 2 Detailed Project Plan
- On June 12th 2014 the final 3rd Party risk assessment report was delivered with key recommendations for moving forward



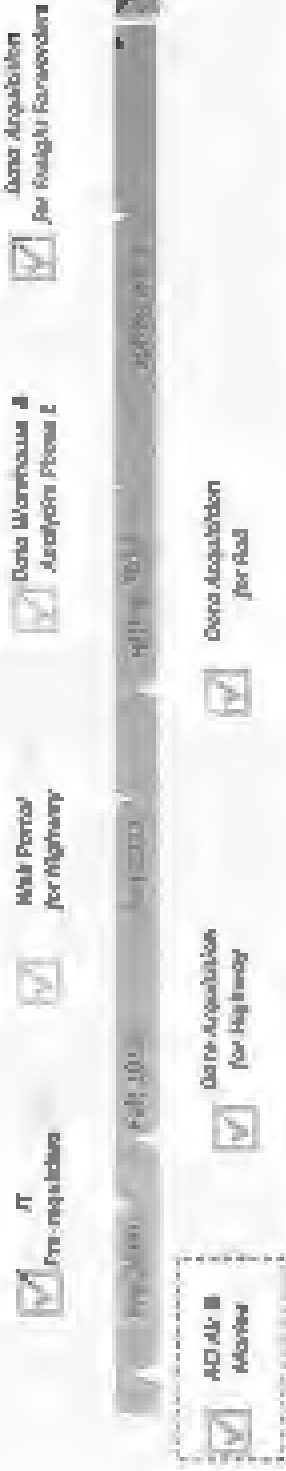
New Delivery Approach

- ✓ The new delivery approach is supported by CBSA resources and is augmented with external support to do parallel work that will generate early, tangible benefits to confirm development milestones are being met and provide support for front-line operations.
- ✓ The revised plan will provide additional time to train CBSA staff and conduct outreach to external stakeholders to ensure a successful implementation.
- ✓ The plan addresses external clients' requests for more time to make changes to their internal business processes and systems in order to adapt to the new requirements.
- ✓ Delivery Scope is segmented into six (6) Deployments to ensure Business Benefits are delivered earlier in the cycle
 - Incremental stakeholder exposure to functionality as early as Deployment 2 (and continuing with each deployment thereafter)
 - Risk mitigation to "Big Bang" approach - newly deployed eManifest system operations to run in parallel with legacy systems until Deployment 5
 - SWI is fully integrated with eManifest – begins in Deployment 4 and is fully integrated and deployed as a part of Deployment 5
 - Crew and electronic re-manifest requirements have been removed from scope and will be delivered as a part of the larger CBSA border modernization program



eManifest Key Accomplishments to Date

Deployment of eManifest Functionality



Systems Deployed:

- ✓ Highway Cargo and Conveyance Reporting
- ✓ Rail Reporting
- ✓ eManifest Portal
- ✓ Freight Forwarder Reporting
- ✓ Air and Marine Conveyance Arrivals
- ✓ Manifest Forward
- ✓ Data Warehouse

Implementation Highlights:

- ✓ Over 11,000 highway carriers now engaged with eManifest
- ✓ 97% of Top 500 Carriers engaged
- ✓ Regulations progressing
- ✓ Multiple rounds of training for BSOs
- ✓ Regional network in place
- ✓ Established a program alignment structure to resolve outstanding issues
- ✓ Webinars, web content, presentations

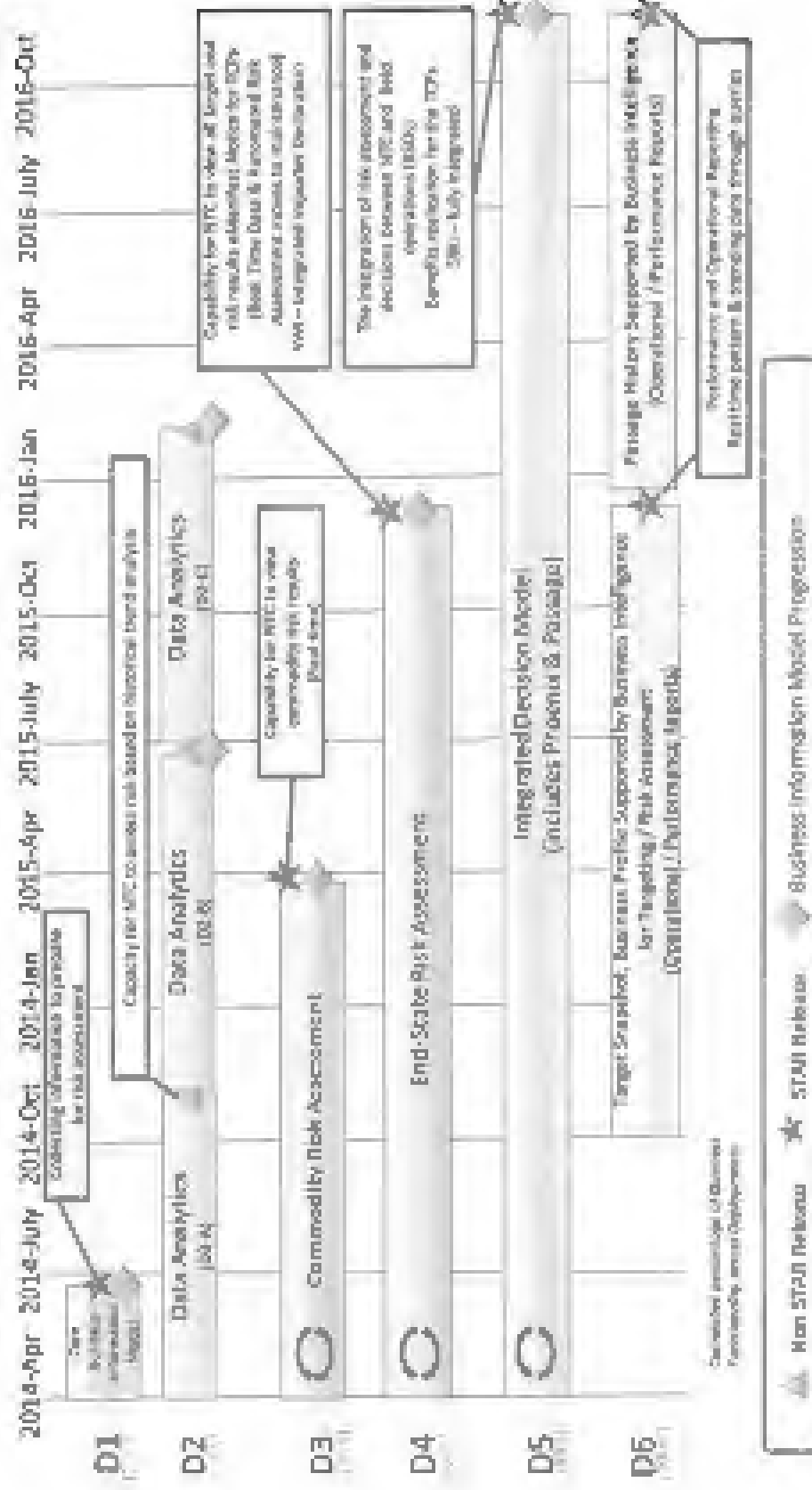


De-scoping impacts

- **Crew**
 - The ability to collect pre-arrival crew information for risk assessment and targeting was a commitment in the eManifest business case. De-scoping imposes the continued need for paper based manual review and targeting.
 - Delivery mechanisms will be sought through a maintenance release and/or joint initiatives in travellers stream to deliver on the commitment.
- **Re-Manifest**
 - Functionality for carriers to submit re-manifests electronically through EDI or the Portal. The CBSA requires a re-manifest to track transfers in liability between carriers or when goods are changing destination / warehouse location.
 - The agency is reviewing the business value of re-manifest in light of agency transformational initiatives; stakeholders support this review as it offers business process efficiencies.
 - Possible opportunity in changing requirement through the Cargo Control and Suffrance Warehouse Modernization Initiative



Delivery Approach Designed to Generate Early Benefits





Deployment 1

"Core Information Business Model"

Scope

- Electronic Data Capture
- Laying the foundation to prepare the trade documents to support risk assessment (building entity relationships)
 - Description of the High Risk Commodity identification supported by Language Ware.
 - Address data preparation supported by Quality Stage-Address Verification Interface (QS-AVI)

Business Outcomes

- Validation that the core business design is sound
 - Validation that the implemented CIFS products provide the expected capability (e.g. ability to resolve an address – supports risk rules that look for commercial shipments destined to residential address, determine what type of commodity is being reported on the manifest)
- ✓ Implemented in Production – June 2014



Deployment 2

"Data Analytics"

Scope

- Data Analytics capability to assist Intelligence officers / targeting teams in the National Targeting Centre (NTC) in the mining of the existing and historical trade data

Business Outcomes

-
-
- Modification of existing indicators based on analysis / outcomes and new data feeds
- **Target Production Date:**
 - Deployment 2A: October 2014
 - Deployment 2B: June 2015
 - Deployment 2C: February 2016



Deployment 3

"Commodity Risk Assessment"

Scope

- Start of Automated Risk Assessment
- Introduction of the risk results User Interface (UI) that supports the viewing of shipments
- Provide the ability to view and modify High Risk Commodity rules
- Implementation of High Risk Commodity rules to support Automated Risk Assessment of shipments

Business Outcomes

- Capability for the NTC to view High Risk Commodity risk results (Real Time) in all modes;
- Supports the ability to target or interdict high risk shipments using legacy commercial systems
- Ability for the Program to assess the performance of High Risk Commodity rules in new system vs. legacy system
- Validating and improving the Automated Risk Assessment results
- Target Production Date: March 2015



Deployment 4

"End-State Risk Assessment"

Scope

- Complete Automated Risk Assessment (all risk rules are executing and viewable)
- Implementation of initial eManifest new notices for Trade Chain Partners (TCPs)
- Implementation of the Single Window trade document (Integrated Import Declaration) as a release option
- Resolved identities of TCPs using Master Data Management
- Implementation of a risk rules simulation environment

Business Outcomes

- Capability for the NTC to view targets and all risk results (Real Time) in all modes
- Capability to assess the operational impact of implementing new risk rules (using simulation)
- The new notices provide desirable functionality to help improve communication between CBSA and its clients as well as business-to-business communication.
- Validation of the Risk Assessment Model (identification of low and high risk entities)
- Validation that the planned targeting work force can handle the volume

Target Production Date: December 2015

Deployment 5

"Integrated Decision Model"

Scope

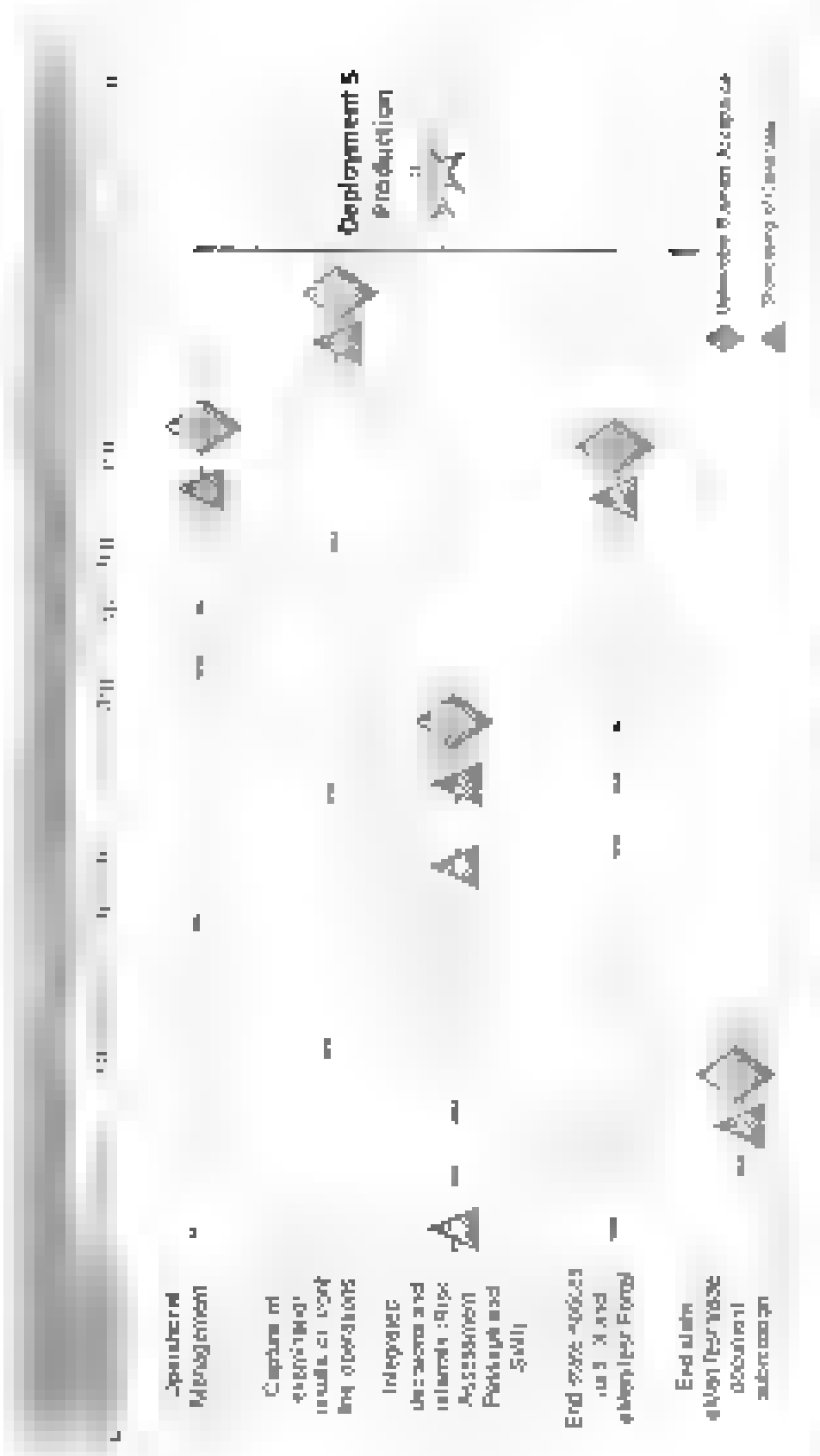
- Integrated decisions and referrals (Risk Assessment Passage and Single Window Initiative)
- Capture of examination results by front line operations
- End-state notices via Electronic Data Interchange and eManifest Portal
- Introduction of Advance Trade Data (ATD) from importers
- Implementation of end state eManifest trade document submission

Business Outcomes

- Complete integration of risk assessment and passage decisions between NT and field operations Border Services Officers (BSOs)
- Enhance Program integrity through "closing the loop" on examination results
- Advance Trade Data (ATD) in all modes supports Targeting Program provides clarity on what commodities are being imported by whom
- Fully integrated commercial processing system and application, includes SWIFT
- New Documents and Notices available to external clients
- The eManifest system becomes the new system of record
- Full Benefits Realized for TCPs (Manifest Forward Streamlined Border Processing)
- Target Production Date December 2016

- 2

Deployment 5 - Deliverables & Timelines



Deployment 6

"Operational and Performance Reports"

Scope

- Target Snapshot Business Profile Supported by Business Intelligence for Targeting / Risk Assessment
- Passage History Supported by Business Intelligence

Business Outcomes

- Program Performance and Operational Reporting
- Business Intelligence Self-Serve Model
- Real-time pattern & trending data through queries
- Target Production Date
 - Deployment 6A (aligns with Q4 production): December 2015
 - Deployment 6B (aligns with Q5 Production): December 2016

Gartner eManifest Project Assessment

Executive Summary

Gartner has been asked to assess the eManifest recovery plan. This limits the analysis and possible recommendations.

The Architecture supports the realization of business benefits for eManifest. Non-functional requirements and the ability to meet them have yet to be confirmed.

Past project delivery issues have been clarified and risk mitigation actions developed. Executing those actions will be challenging.

Project success will depend on prioritization of eManifest within the Agency. The magnitude of risk and change management is not fully appreciated.

Procuring and managing complex outcome-based supply arrangements would prove very risky given CHS&S's current level of vendor management maturity. Executing new sourcing approaches may not yield the value being sought within eManifest's timelines.



Manifest Plan Endorsement Considerations

- Detailed planning of option 2 has occurred and resulted in an activity-based schedule with costs and the level of confidence by both third parties and in-house team members being much higher than previous plans
- CBSA will help to further mitigate some of the identified organizational-wide project delivery and management risks
- Confirmation of re-baselined plan with TBS will be required

*Requesting approval to proceed with execution of the
Option 2 Project Plan*



Communications

- **External Stakeholders**
External stakeholders will be advised of the new delivery plan with dates
A full communications strategy will be developed once the plan is approved
- **Internal Stakeholders**
Present re-baselined plan to CIOB
Briefing to TB
- **Minister's Office**
Provide an update on evidenced status and plan impacts on EIB commitments, external stakeholders and regulatory package
- **PCO**
Continue to update EIB team of evidenced status and impacts on EIB commitments
- **Staff and Unions**
Communication of the HRA Strategy with staff and unions will begin once plan has been approved
- **SSC**
They are on the recovery team but will also be formally briefed on the approved plan



HR Strategy

- Project Development Lifecycle will see shifts in resource allocation and skills as the Project moves through Development and into Testing & Implementation
- Business and Systems Analysts will begin transitioning to Maintenance & to new project work through this fiscal year and into 2015/2016
- Considering various external delivery assistance options for Business Intelligence (D6) along with the work done to date within the Agency





eManifest Project Update

Briefing to the Chief Information Officer Branch

May 2015
Commercial Projects Directorate

5

eManifest at End State

Business Intelligence Data Warehouse



DATA ACQUISITION

For initial data acquisition, data is collected from various sources and loaded into the data warehouse.

The data is then processed and loaded into the data warehouse. The data is then processed and loaded into the data warehouse.

The data is then processed and loaded into the data warehouse.



DATA INTEGRATION

For data integration, data is collected from various sources and loaded into the data warehouse.

The data is then processed and loaded into the data warehouse. The data is then processed and loaded into the data warehouse.



DATA ANALYSIS

For data analysis, data is collected from various sources and loaded into the data warehouse.

The data is then processed and loaded into the data warehouse. The data is then processed and loaded into the data warehouse.



DATA REPORTING

For data reporting, data is collected from various sources and loaded into the data warehouse.

The data is then processed and loaded into the data warehouse. The data is then processed and loaded into the data warehouse.

Business Intelligence Data Warehouse



Project Update

- The project has been executing against the re-baselined plan since June 2014
- To date, the following releases have been delivered on time and on budget
 - Deployment 1 (Core Information Business Mode)
 - Deployment 2A (Data Analytics)
 - Deployment 3 (Commodity Risk Assessment)





eManifest Accomplishments to Date

Deployment of eManifest Functionality in Production

As of 10/1/2011	Core Manifest Arrivals	Data Acquisition & Analytics Phase	Data Acquisition for Freight Forwarders	Flight Manifesting
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10/1/2011

Arrivals Report	Data Acquisition for Highway	Data Acquisition for Air	Core Information Business Model	Flight Manifesting
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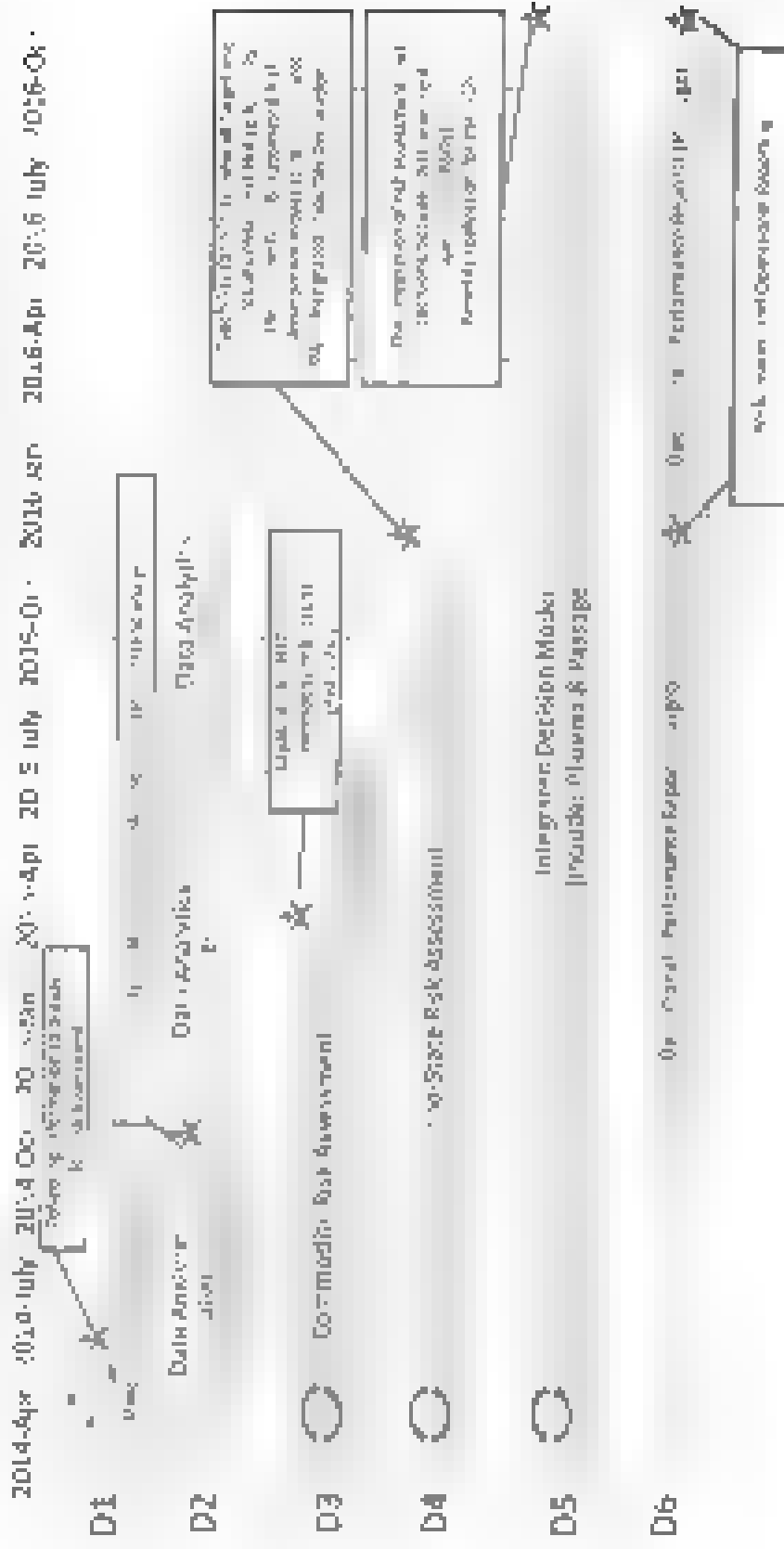
Systems Deployed

- ✓ Highway Cargo and Conveyance Reporting
- ✓ Rail Reporting
- ✓ eManifest Portal
- ✓ Freight Forwarder Reporting
- ✓ Air and Marine Conveyance Arrivals
- ✓ Manifest Forward
- ✓ Data Warehouse
- ✓ Core Information Business Model
- ✓ Data Analytics
- ✓ Phoenix

Implementation Highlights

- ✓ More than 8,600 highway carriers engaged with eManifest, representing 96% of all electronic and paper highway volumes
- ✓ 8 of the 11 rail carriers engaged with eManifest
- ✓ More than 300 freight forwarders engaged with eManifest and client uptake continues to increase
- ✓ Multiple rounds of training for BSOs have been delivered and an extensive regional support network is in place
- ✓ Webinars, Web content, presentations

Delivery Approach Designed to Generate Early Benefits



1. *Journal of the American Medical Association*, 277, 1996, 1365-1368.

[illegible]

Stakeholder Engagement

- To ensure successful implementation throughout all deployments, the CBSA conducts outreach activities and maintains open lines of communication with external stakeholders
- This enables the Agency and stakeholders to identify and address any potential process or technical issues related to implementation

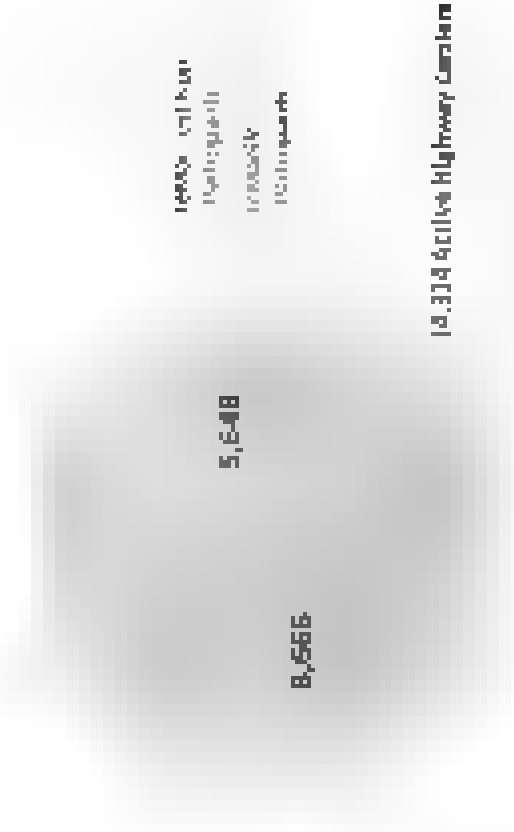


Current and Upcoming Implementation Activities

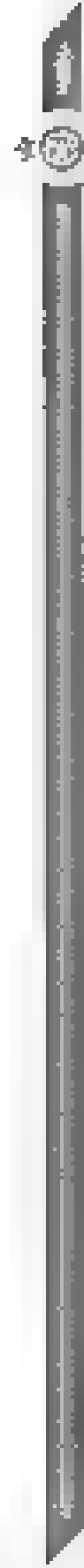
- Upon announcement of the regulations the CBSA will launch the regulatory changes in Regulatory Package 1 Parts 1 & 2 that will mandate the requirement for industry stakeholders to submit new documents
 - Part 1 – Highway/Rail (Cargo and Conveyance Information)
 - Part 2 – Freight Forwarders (Supplementary Information Electronic Housebill)
- Following the launch of D3 on March 29, 2015 the Agency will continue the conversion of Trade Partners until end state
- The CBSA will also continue change management and training activities
- A comprehensive implementation strategy for D5 is being developed.

Client Uptake – Highway Carriers

- There are 14 314 active highway carriers through FY 14-15
- Of the active highway carriers 8,666 are eManifest ready in production
- eManifest in testing and/or active pending inactive or suspended in the eManifest Portal



- The 8,666 carriers represent 96% of all highway volumes, both electronic and paper currently through FY14-15



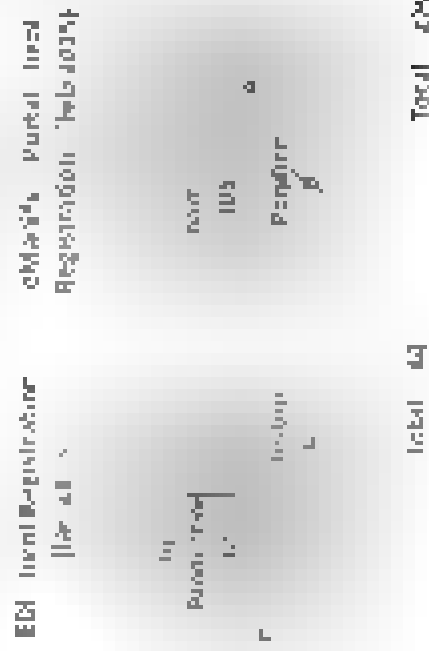
Client Uptake – Rail Carriers

- 11 rail carriers currently represent 100% of all rail volumes both electronic and paper, through FY14-15
- As of February 2015 eight of the 11 carriers are in production or are in testing eManifest



Client Uptake – Freight Forwarders

- There are 992 total registered freight forwarder codes as of February 28, 2015
- 319 freight forwarders are engaged in eManifest and Portal registrations





Next Steps

- Ongoing support for the implementation of Deployment 2 and 3 at the National Targeting Centre
- Continue development of all remaining project deployments
- Ongoing communication and outreach with stakeholders through the Border Commercial Consultative Committees





Appendix





eManifest DB (P1)

- **Cost**

The eManifest project has an approved budget of \$415.1M

Fiscal 2014-5 actuals are reporting \$38.8M with a forecast of \$41.4M for 2015/16 and \$39.9M for fiscal 2016/17

- **Schedule**

The project will be formally presenting to T PP a request for change related to the Deployment 4 (D4) production dates on May 6, 2015. D4 will be delivered in two releases

- **Scope**

To date we have 43 approved request for change with an estimated 2599 effort days and an estimated cost of \$1.574M

During P1 we have approved one RFC, that has added an estimate 443 effort days to Deployment 5 (D5) and an estimated cost increase of \$26k

eManifest DB (P1) cont.

■ ISSUE

The project is currently tracking 3 open issues.

1. (IL-118) Roll-out for SPSS software upgrade to V16 has encountered delays
 - Resolution Plan: Options analysis underway Escalated to management for direction and resolution
2. (IL-117) The SW1 maintenance release will create resource contention for D4 as the ACROSS team will be dedicated to the maintenance release and production support
 - Resolution Plan: Resource levelling exercise is on-going to assess gaps in resourcing to minimize impact
3. (IL-112) There is resource contention between D4 and D5 projects
 - Resolution Plan: Use staff augmenting supply arrangements to fill resource gap where necessary

eManifest P1 Dashboard

[illegible]



Deployment 1

"Core Information Business Model"

Scope

- Electronic Data Capture
- Laying the foundation to prepare the trade documents to support risk assessment building entity relationships
 - Description of the High Risk commodity identification supported by language write
 - Address data preparation supported by Quality Stage -Address Verification Interface (QS-AV)

Business Outcomes

- validation that the core business design is sound
- validation that the implemented COTS products provide the expected capability (e.g. ability to resolve an address supports risk rules that look for commercial shipments destined to residential address, determine what type of commodity is being reported on the manifest)

- ✓ Implemented in Production June 2014

Deployment 2

"Data Analytics"

Scope

- Data Analytics capability to assist intelligence officers targeting teams in the National Targeting Centre (NTC) in the mining of the existing and historical, trade data

Business Outcomes

-
-
- Modification of existing indicators based on analysis outcomes and new data feeds

Target Production Date

- ✓ Deployment 2A Implemented in Production October 2014
- Deployment 2B June 2015
- Deployment 2C February 2016

Deployment 3

"Commodity Risk Assessment"

Scope

- Start of Automated Risk Assessment
- Introduction of the risk results user interface (UI) that supports the viewing of shipments
- Provide the ability to view and modify High Risk Commodity rules
- Implementation of High Risk Commodity rules to support Automated Risk Assessment of shipments

Business Outcomes

- Capability for the NTC to view High Risk Commodity risk results (Real Time) in all modes.
- Supports the ability to target or interdict high risk shipments using legacy commercial systems
- Ability for the Program to assess the performance of High Risk Commodity rules in new system vs legacy system
- Validating and improving the Automated Risk Assessment results

Target Production Date.

- ✓ March 29 2015

Deployment 4

"End-State Risk Assessment"

Scope

- Complete Automated Risk Assessment, all risk rules are executing and viewable
- Implementation of initial eManifest new notices for Trade Chain Partners (TCPs)
- Implementation of the Single Window trade document (Integrated Import Declaration) as a release option
- Resolved identities of TCPs using Master Data Management
- Implementation of a risk rules simulation environment

Business Outcomes

- Capability for the NTC to view targets and all risk results (Real Time) in all modes
- Capability to assess the operational impact of implementing new risk rules using simulation)
- The new notices provide desirable functionality to help improve communication between CBSA and its clients as well as business-to-business communication.
- Validation of the Risk Assessment Model (identification of low and high risk entities)
- Validation that the proposed targeting work force can handle the volume

Target Production Date December 2015



Deployment 5

"Integrated Decision Model"

Scope

- Integrated decisions and referrals: Risk Assessment, Passage and Single Window Initiative)
- Capture of examination results by front line operators
- End-state notices via Electronic Data Interchange, and eManifest Portal
- Introduction of Advance Trade Data (ATD) from Importers
- Implementation of end state eManifest trade document submission

Business Outcomes

- Complete integration of risk assessment and passage decisions between NTC and field operations Border Services Officers (BSOs)
- Enhance Program integrity through "closing the loop" on examination results
- Advance Trade Data (ATD) in all modes supports Targeting Program provides clarity on what commodities are being imported by whom
- Fully integrated commercial processing system and application, includes SWI
- New Documents and Notices available to external clients
- The eManifest system becomes the new system of record
- Full Benefits Realized for TCOs (Manifest Forward, Streamlined Border Processing)

Target Production Date: December 2016



Deployment 6

"Operational and Performance Reports"

Scope

- Risk Assessment Operational and Management Reports
- Passage Operational and Management Reports

Business Outcomes

- Program Performance and Operational Reporting
- Increased Decision Support for Programs

Target Production Date

- Deployment 6A (aligns with D4 production) December 2015
- Deployment 6B (aligns with D5 Production) December 2016



eManifest Project Update

External Audit Committee

Briefing

April 2015
Commercial Projects Directorate



Presentation Overview

- Executive summary of recent project management activities since the External Audit Committee briefing in September 2014
 - Project Governance and Reporting
 - Financial Reporting and Tracking
- Project Accomplishments
- Legislation and External Outreach Update
- Overview of the Project Deployment 2A (Data Analytics) implemented in October 2014
- Overview of the Project Deployment 3 (Commodity Risk Assessment) implemented in March 2015

eManifest Accomplishments to Date

Deployment of eManifest Functionality in Production

ACR Air & Marine	Core Acquisition for Highway	Data Acquisition for Rail	Data Acquisition for Road	Web Portal for Highway	Data Upload over E-Receipts Portal	Data Acquisition for Freight Forwarding	✓	Yes
✓	✓	✓	✓	✓	✓	✓	✓	✓

Systems Deployed:

- ✓ Highway Cargo and Conveyance Reporting
- ✓ Rail Reporting
- ✓ eManifest Portal
- ✓ Freight Forwarder Reporting
- ✓ Air and Marine Conveyance Annals
- ✓ Manifest Forward
- ✓ Data Warehouse
- ✓ Core Information Business Model
- ✓ Data Analytics
- ✓ Phoenix

Implementation Highlights

- ✓ More than 8,600 highway carriers engaged with eManifest representing 96% of all electronic and paper highway volumes
- ✓ 3 of top 1 rail carriers engaged with eManifest
- ✓ More than 300 freight forwarders engaged with eManifest and client uptake continues to increase
- ✓ Multiple rounds of training for BSNs have been delivered and an effective regional support network is in place
- ✓ Webinars Web content presentations



Project Management Update

- eManifest has implemented the recommended Garner governance structure
Decision making is streamlined and better aligned with appropriate levels and
Project Authority and TIPP govern high likelihood risks
Project Authority decides majority of government related issues
Significantly enhances project efficiency
A Change Management Process has been fully established.
- eManifest has implemented more rigorous reporting:
eManifest TBS Dashboard and
eManifest Monthly Earned Value Report
- Fully resource loaded schedules have been developed
Allows for improved clarity on percentage of work complete
Supports financial tracking, tasks authorization management earned value based status
reporting and
informs the project cost base

Managing Performance to Stay on Track

Project Support & Control
Office (PSCCO)

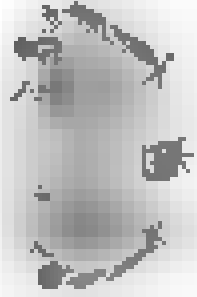
Project Support & Control
Office (PSCCO)

PSCO & Adversarial Project
Management/Executive

Enterprise Project
Management Office



Project



Schedule &

Financial Monitoring

Weekly Schedule
Monitoring
Cross-reference
Schedule to
Enterprise time
tracking
Procurement/
Procurement costs

Performance Data

Consolidation

Aggregation of financial
and progress reports
Financial Dashboard
updates
Loads schedule &
financial dashboard risk
ratings

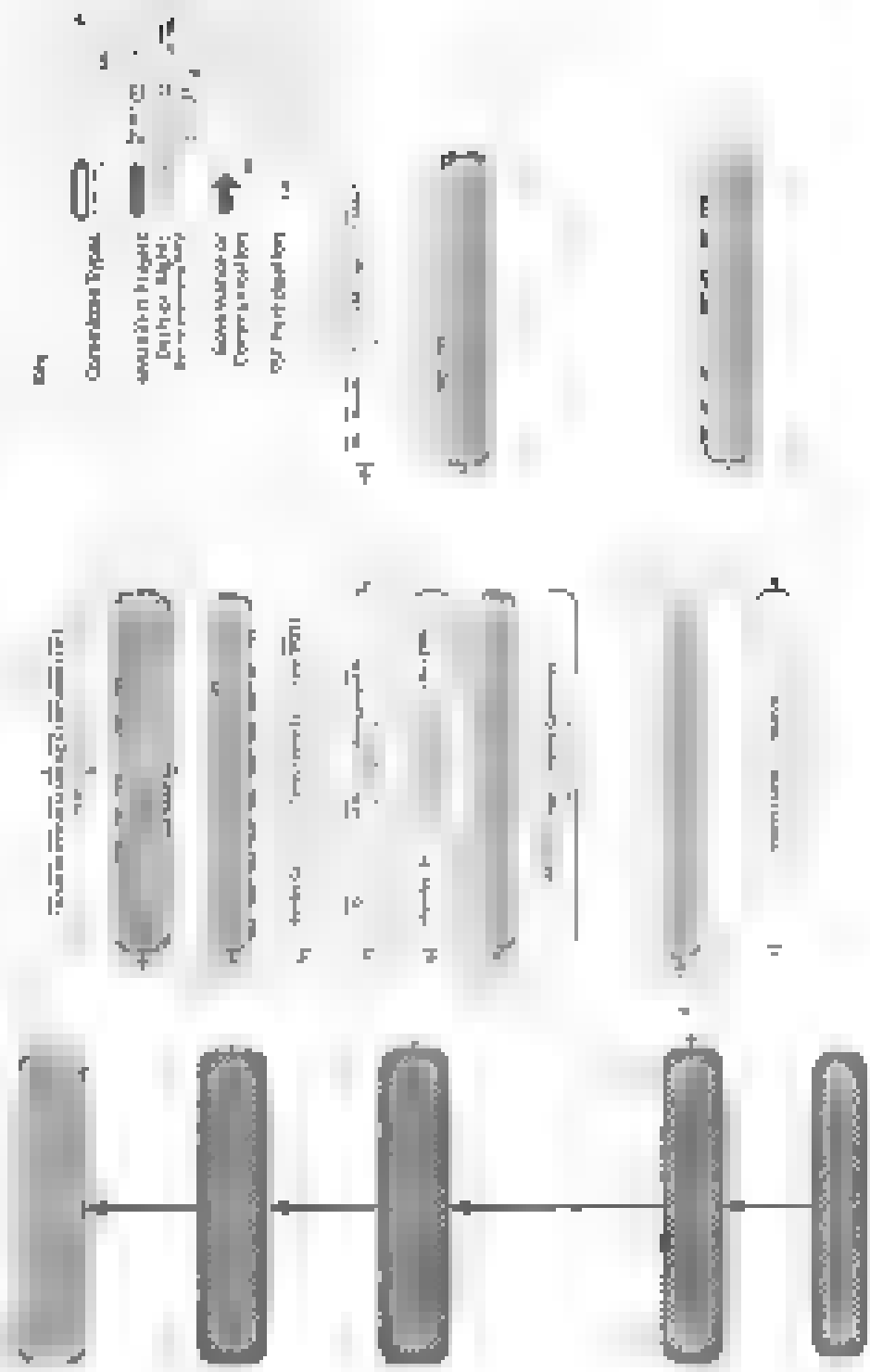
Oversight & Governance

Project Integration Board
Weekly Leadership meetings
with AWP
Bi-Weekly DC Health Check
Project Advisory Committee
Transformation Innovation
and Project Portfolio
Committee
Senior Project Advisory
Committee

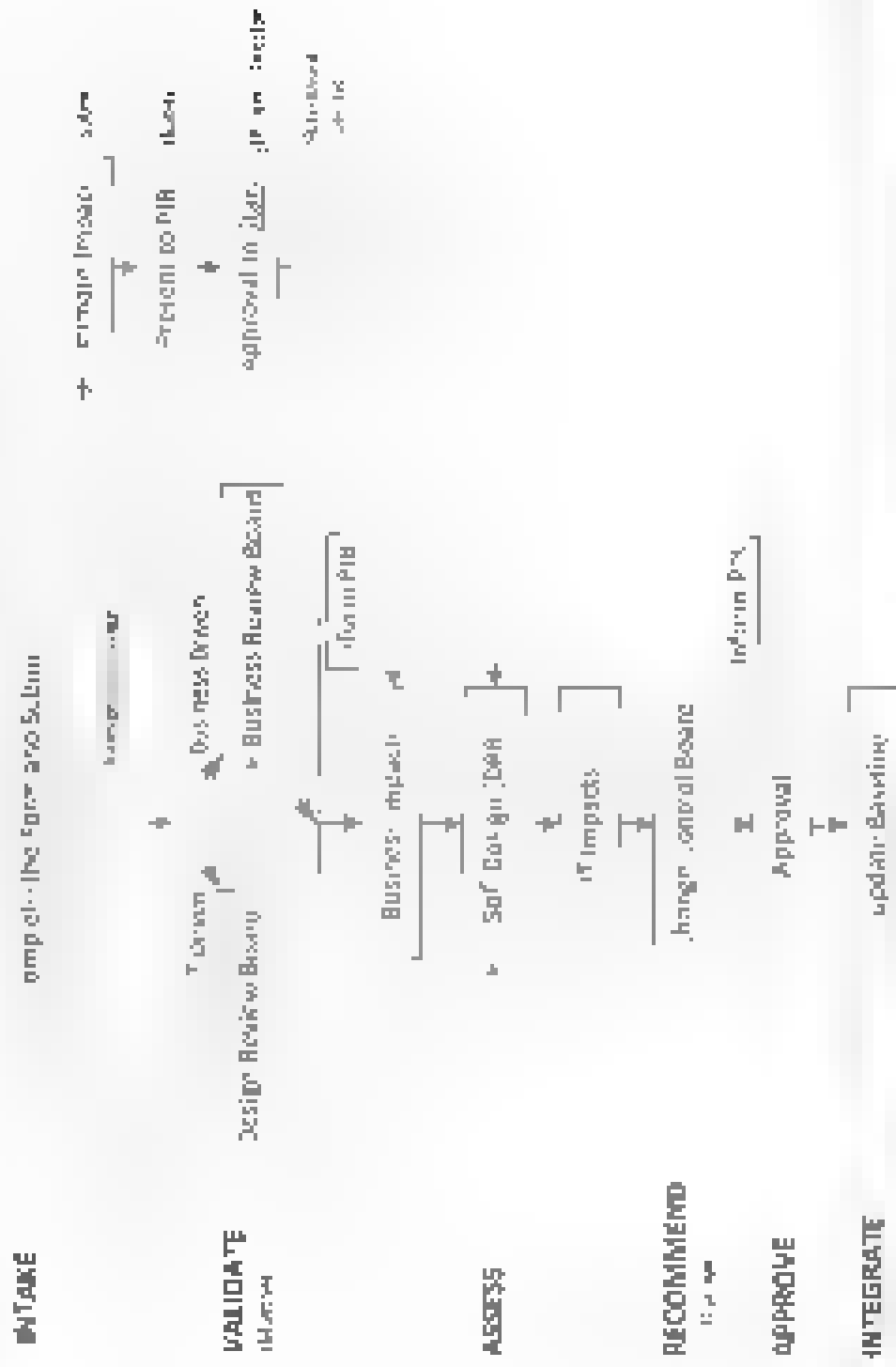
Enterprise Oversight

Dashboard reporting
Monitoring & control
Agency level risk
management and
portfolio performance
management

eManifest Governance



eManifest Change Management Process





eManifest Reporting

- Project team has scheduled monthly meetings with the Enterprise Project Management Office (EPMO) to review the dashboard to ensure compliance with TBS reporting requirements and/or Agency corporate standards
- eManifest has updated the reported dashboard financials to align with corporate reporting requirements

Financial Reporting & Tracking

- ◆ improved fiscal responsibility

Project funding have been centralized and is managed through Task Authorizations (TAs) to each funded stakeholder using eManifest Deployment schedules as the main driver

- Project funding has been based on detailed resource loaded schedules (resources attributable by name)
- Earned Value Reporting has been implemented and is reported on a monthly basis
 - Monthly meetings with the Enterprise Project Management Office (EPMO) are scheduled to ensure compliance with corporate reporting requirements
- Monthly challenge sessions are held with the Executive Sponsor, Project Authority and Project Director

Baselined Plan Costing

Project Name		Project ID		Project Manager		Project Status		Project Budget		Project Actuals		Project Variance	
Project A		A001		John Doe		On Track		\$1,000,000		\$950,000		\$50,000	
Project B		B002		Jane Smith		Over Budget		\$800,000		\$850,000		-\$50,000	
Project C		C003		Mike Johnson		Under Budget		\$1,200,000		\$1,100,000		\$100,000	
Project D		D004		Sarah Brown		On Track		\$900,000		\$920,000		-\$20,000	
Project E		E005		David White		Over Budget		\$1,100,000		\$1,150,000		-\$50,000	
Project F		F006		Emily Green		On Track		\$700,000		\$680,000		\$20,000	
Project G		G007		Chris Black		Under Budget		\$1,300,000		\$1,250,000		\$50,000	
Project H		H008		Alex Blue		On Track		\$600,000		\$610,000		-\$10,000	
Project I		I009		Mia Purple		Over Budget		\$950,000		\$1,000,000		-\$50,000	
Project J		J010		Noah Yellow		On Track		\$850,000		\$840,000		\$10,000	
Project K		K011		Olivia Pink		Under Budget		\$1,050,000		\$1,000,000		\$50,000	
Project L		L012		Liam Grey		On Track		\$750,000		\$760,000		-\$10,000	
Project M		M013		Sophia Silver		Over Budget		\$1,150,000		\$1,200,000		-\$50,000	
Project N		N014		Ethan Gold		On Track		\$900,000		\$890,000		\$10,000	
Project O		O015		Ava Bronze		Under Budget		\$1,250,000		\$1,200,000		\$50,000	
Project P		P016		Caleb Copper		On Track		\$800,000		\$810,000		-\$10,000	
Project Q		Q017		Isabella Iron		Over Budget		\$1,000,000		\$1,050,000		-\$50,000	
Project R		R018		Mason Steel		On Track		\$700,000		\$690,000		\$10,000	
Project S		S019		Charlotte Tin		Under Budget		\$1,100,000		\$1,050,000		\$50,000	
Project T		T020		Benjamin Lead		On Track		\$950,000		\$960,000		-\$10,000	
Project U		U021		Amelia Zinc		Over Budget		\$1,050,000		\$1,100,000		-\$50,000	
Project V		V022		Lucas Nickel		On Track		\$850,000		\$840,000		\$10,000	
Project W		W023		Mia Cobalt		Under Budget		\$1,200,000		\$1,150,000		\$50,000	
Project X		X024		Nathan Manganese		On Track		\$900,000		\$890,000		\$10,000	
Project Y		Y025		Evelyn Silicon		Over Budget		\$1,100,000		\$1,150,000		-\$50,000	
Project Z		Z026		Carter Aluminum		On Track		\$800,000		\$790,000		\$10,000	
Project AA		AA027		Sofia Magnesium		Under Budget		\$1,300,000		\$1,250,000		\$50,000	
Project AB		AB028		Leo Titanium		On Track		\$950,000		\$940,000		\$10,000	
Project AC		AC029		Aria Vanadium		Over Budget		\$1,050,000		\$1,100,000		-\$50,000	
Project AD		AD030		Caleb Chromium		On Track		\$850,000		\$840,000		\$10,000	
Project AE		AE031		Mia Molybdenum		Under Budget		\$1,250,000		\$1,200,000		\$50,000	
Project AF		AF032		Nathan Niobium		On Track		\$900,000		\$890,000		\$10,000	
Project AG		AG033		Evelyn Zirconium		Over Budget		\$1,100,000		\$1,150,000		-\$50,000	
Project AH		AH034		Carter Hafnium		On Track		\$800,000		\$790,000		\$10,000	
Project AI		AI035		Sofia Tantalum		Under Budget		\$1,300,000		\$1,250,000		\$50,000	
Project AJ		AJ036		Leo Rhenium		On Track		\$950,000		\$940,000		\$10,000	
Project AK		AK037		Aria Ruthenium		Over Budget		\$1,050,000		\$1,100,000		-\$50,000	
Project AL		AL038		Caleb Rhodium		On Track		\$850,000		\$840,000		\$10,000	
Project AM		AM039		Mia Palladium		Under Budget		\$1,250,000		\$1,200,000		\$50,000	
Project AN		AN040		Nathan Silver		On Track		\$900,000		\$890,000		\$10,000	
Project AO		AO041		Evelyn Gold		Over Budget		\$1,100,000		\$1,150,000		-\$50,000	
Project AP		AP042		Carter Platinum		On Track		\$800,000		\$790,000		\$10,000	
Project AQ		AQ043		Sofia Iridium		Under Budget		\$1,300,000		\$1,250,000		\$50,000	
Project AR		AR044		Leo Osmium		On Track		\$950,000		\$940,000		\$10,000	
Project AS		AS045		Aria Xenon		Over Budget		\$1,050,000		\$1,100,000		-\$50,000	
Project AT		AT046		Caleb Argon		On Track		\$850,000		\$840,000		\$10,000	
Project AU		AU047		Mia Neon		Under Budget		\$1,250,000		\$1,200,000		\$50,000	
Project AV		AV048		Nathan Helium		On Track		\$900,000		\$890,000		\$10,000	
Project AW		AW049		Evelyn Hydrogen		Over Budget		\$1,100,000		\$1,150,000		-\$50,000	
Project AX		AX050		Carter Oxygen		On Track		\$800,000		\$790,000		\$10,000	
Project AY		AY051		Sofia Nitrogen		Under Budget		\$1,300,000		\$1,250,000		\$50,000	
Project AZ		AZ052		Leo Carbon		On Track		\$950,000		\$940,000		\$10,000	
Project BA		BA053		Aria Silicon		Over Budget		\$1,050,000		\$1,100,000		-\$50,000	
Project BB		BB054		Caleb Aluminum		On Track		\$850,000		\$840,000		\$10,000	
Project BC		BC055		Mia Iron		Under Budget		\$1,250,000		\$1,200,000		\$50,000	
Project BD		BD056		Nathan Steel		On Track		\$900,000		\$890,000		\$10,000	
Project BE		BE057		Evelyn Copper		Over Budget		\$1,100,000		\$1,150,000		-\$50,000	
Project BF		BF058		Carter Zinc		On Track		\$800,000		\$790,000		\$10,000	
Project BG		BG059		Sofia Nickel		Under Budget		\$1,300,000		\$1,250,000		\$50,000	
Project BH		BH060		Leo Titanium		On Track		\$950,000		\$940,000		\$10,000	
Project BI		BI061		Aria Vanadium									

Budget per Deployment as of March 31, 2015 using Approved Project Cost Base (Version 40)

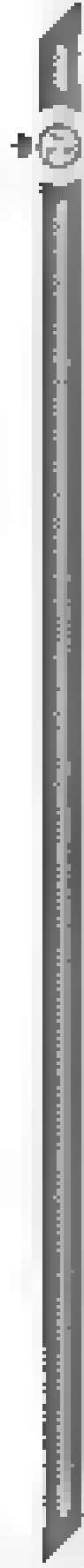
Deployment (Sub-Deployments) Budget Completed on Time and On Budget

Deployment 1	\$10.3M	✓
<u>Sub-Total (Prior to FY2014-15)</u>	<u>\$10.3M</u>	
Deployment 2 (2A)	\$1.1M	✓
Deployment 2 (2B & 2C)	\$3.4M	Ongoing
Deployment 3	\$21.8M	✓
Deployment 4	\$34.9M	Ongoing
Deployment 5	\$42.4M	Ongoing
Deployment 6 (6A & 6B)	\$16.3M	Ongoing
<u>Sub-Total (FY2014-15 onwards)</u>	<u>\$119.9M</u>	
<u>Total for All Deployments</u>		



eManifest Regulations Update

- eManifest regulatory package 1 includes advance commercial information requirements for carriers in the highway and rail modes, mandatory electronic warehouse arrivals requirements for freight forwarders in all modes and bay plan requirements in the marine mode
-
-



Stakeholder Engagement

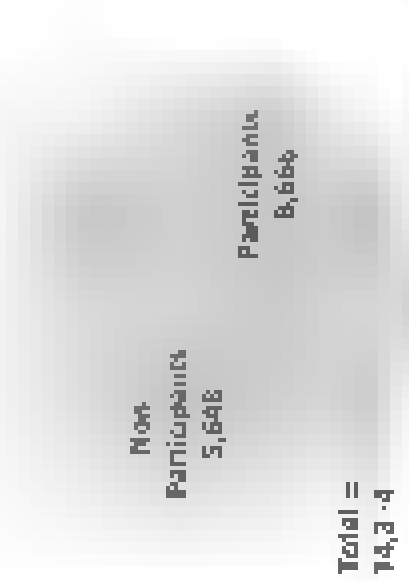
- To ensure successful implementation throughout all deployments, the CBSA conducts outreach activities and maintains open lines of communication with external stakeholders
- This enables the Agency and stakeholders to identify and address any potential process or technical issues related to implementation



Client Uptake

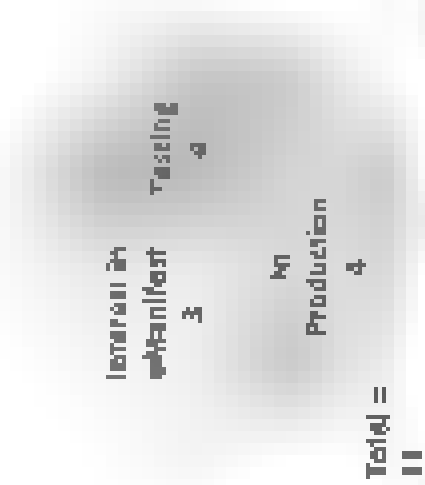
Highway Carriers

- There are 4,314 active highway carriers through FY 14-15
- Of the active highway carriers, 8,686 are EDI in production, EDI in testing and/or active pending inactive or suspended in the eManifest Portal
- The 8,686 carriers represent 98% of all highway volumes, both electronic and paper currently through FY 14-15



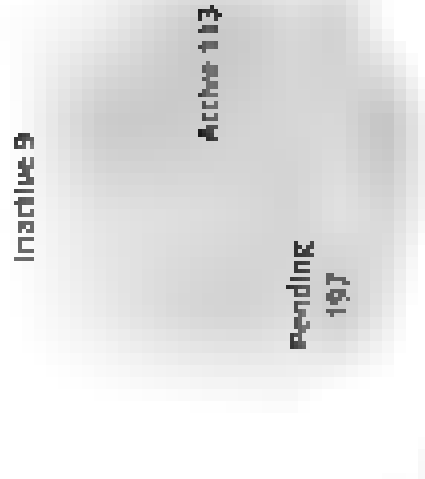
Rail Carriers

- Rail carriers currently represent 170% of all rail volumes: 100% electronic and paper through FY 14-15
- As of February 2015 eight of the 11 carriers are in production and are in testing eManifest



Freight Forwarders

- There are 192 total registered freight forwarder codes as of February 28, 2015
- 318 freight forwarders are engaged in EDI or eManifest Portal registrations





Appendix

Deployment 2

"Data Analytics"

Scope

- Data Analytics capability to assist intelligence officers targeting teams in the National Targeting Centre (NTC) in the mining of the existing and historical, trade data

Business Outcomes

-
-
- Modification of existing indicators based on analysis outcomes and new data leads

Target Production Date

- Deployment 2A Implemented in Production October 2014
- Deployment 2B June 2015
- Deployment 2C February 2016

Deployment 3

"Commodity Risk Assessment"

Scope

- Start of Automated Risk Assessment
- Introduction of the risk results user interface (UI) that supports the viewing of shipments
- Provide the ability to view and modify High Risk Commodity rules
- Implementation of High Risk Commodity rules to support Automated Risk Assessment of shipments

Business Outcomes

- Capability for the NTC to view High Risk Commodity risk results (Real Time) in all modes.
- Supports the ability to target or interdict high risk shipments using legacy commercial systems
- Ability for the Program to assess the performance of High Risk Commodity rules in new system vs legacy system
- Validating and improving the Automated Risk Assessment results

Target Production Date

- ✓ March 2015



Deployment 4

"End-State Risk Assessment"

Scope

- Complete Automated Risk Assessment (all risk rules are executing and viewable)
- Implementation of critical elements: new policies for Trade Chain Partners' TCPs
- Implementation of the Single Window trade document integrated import Declaration, as a release option
- Resolved identities of TCPs using Master Data Management
- Implementation of a risk rules simulation environment

Business Outcomes

- Capability for the NTC to view (analyze) and all risk results (Real Time) in all modes
- Capability to assess the operational impact of implementing new risk rules (using simulation)
- The new policies provide desirable functionality to help improve communication between CBSA and its clients as well as business-to-business communication
- Validation of the Risk Assessment Model (identification of low and high risk entities)
- Validation that the planned targeting work force can handle the volume

Target Production Date: December 2015



Deployment 5

"Integrated Decision Model"


Scope

- Integrated decisions and referrals: Risk Assessment, Passage and Single Window Initiative
- Capture of examination results by front line operations
- End-state: Notices via Electronic Data Interchange and eManifest Portal
- Introduction of Advance Trade Data (ATD) from importers
- Implementation of end state eManifest trade document submission

Business Outcomes

- Complete integration of risk assessment and passenger decisions between NIT and field Operations Border Services Officers (BSOs)
- Enhance Program integrity through "closing the loop" on examination results
- Advance Trade Data (ATD) in all modes supports Targeting Program – provides clarity on what commodities are being imported by whom
- Fully integrated commercial processing system and application includes SWI
- New Documents and Notices available to external clients
- The eManifest system becomes the new system of record
- Full Benefits Realization: T-CPs Manifest Forward, Streamlined Border Processing)

Target Production Date: December 2016



Deployment 6

"Operational and Performance Reports"

Scope

- Risk Assessment Operational and Management Reports
- Passage Operational and Management Reports

Business Outcomes

- Program Performance and Operational Reporting
- Increased Decision Support for Programs

Target Production Date:

- Deployment 6A (aligns with D4 production) December 2015
- Deployment 6B (aligns with D5 Production) December 2016



Canada Border
Services Agency

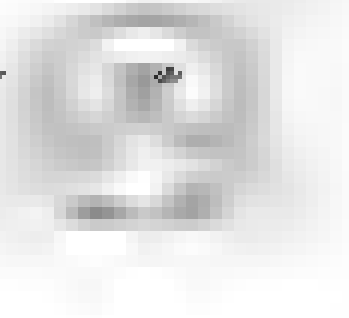
Agence des services
frontalières du Canada



eManifest Project Update

External Audit Committee Briefing

December 2015
Commercial Projects Directorate, ISTB



PROTECTION • SERVICE • INTEGRITY

Canada



Presentation Overview

- eManifest End State Overview
- eManifest Benefits
- Project Update & Upcoming Activities
 - Deployment 2B (Data Analytics)
 - Deployment 4A (Notices)
 - Deployment 4B (Risk Assessment Program Maintenance)
- Implementation Strategy
- eManifest Regulations Update
- Base-lined Costing



eManifest End State functionality in December 2016

- Full suite of services to Trade Partner
- Information of Advance Trade Data (ATD) from Importers
- Introduction of Multi Modal Cargo document
- Self Service portal

- Creation of the Entry model for all shipments
- 100% of commercial shipments across all modes are risk assessed prior to arrival
- Automated threshold risk determinations will be used to identify high and unknown risk
- Low risk shipments will be automatically released

- Pre-arrival risk assessment completion on all commercial shipments for marine, rail and highway
- New application with a user friendly Graphical User Interface (GUI)

- Risk assessment results and recommendations are used to close the loop - assess risk, assessment rules and route self improve the risk assessment process

eManifest Benefits

For Trade

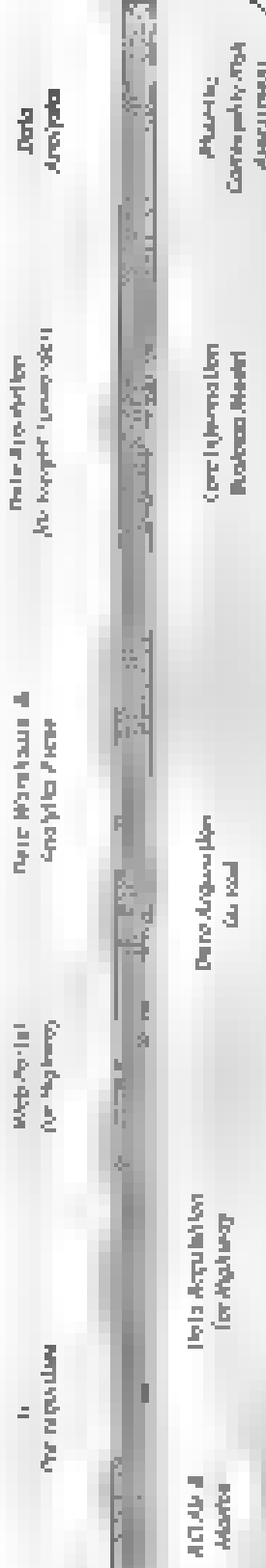
1. All Trade Chain Partners electronically transmit advance commercial information, which can be used in communication with other trade chain partners
2. Risk Assessment prior to arrival provides consistency to trade
3. Standardization of the commercial process with the expansion of automated risk assessment to all modes
4. Focus on high risk shipments for targeting and inspection facilitates the legitimate flow of low-risk trade
5. Ability to cleanse data reduces costly Requests for Information (RFI) to the Trade

For CESA

1. Data Acquisition All trade chain partners transmit data electronically prior to arrival from all modes
2. Entity Model Pre-arrival trade data from multiple documents is compiled into "entities" that provide a complete view of the shipment, conveyance and equipment. Risk assessment happens at the entity level rather than on individual trade documents
3. Automated Risk Assessment Commercial entities across all modes are risk assessed prior to arrival. Threat-based risk determinations will be used to flag high and unknown risk entities to the targeting officers. Low risk shipments will be authorized to move inland or released by the system
4. Integrated Targeting Model Risk assessment for admissibility and release decisions in all four modes is done by targeting officers at the National Targeting Centre
5. Business Intelligence Risk assessment results and examinations are used to close the loop, revise risk assessment rules and continuously improve the risk assessment process

eManifest Accomplishments to Date

Deployment of eManifest Capabilities in Production



Systems Deployed

- ✓ eManifest Portal
- ✓ Air and Marine Conveyance Arrivals
- ✓ Manifest Forward
- ✓ Data Warehouse
- ✓ Core Information Business Model
- ✓ Data Analytics
- ✓ Phoenix

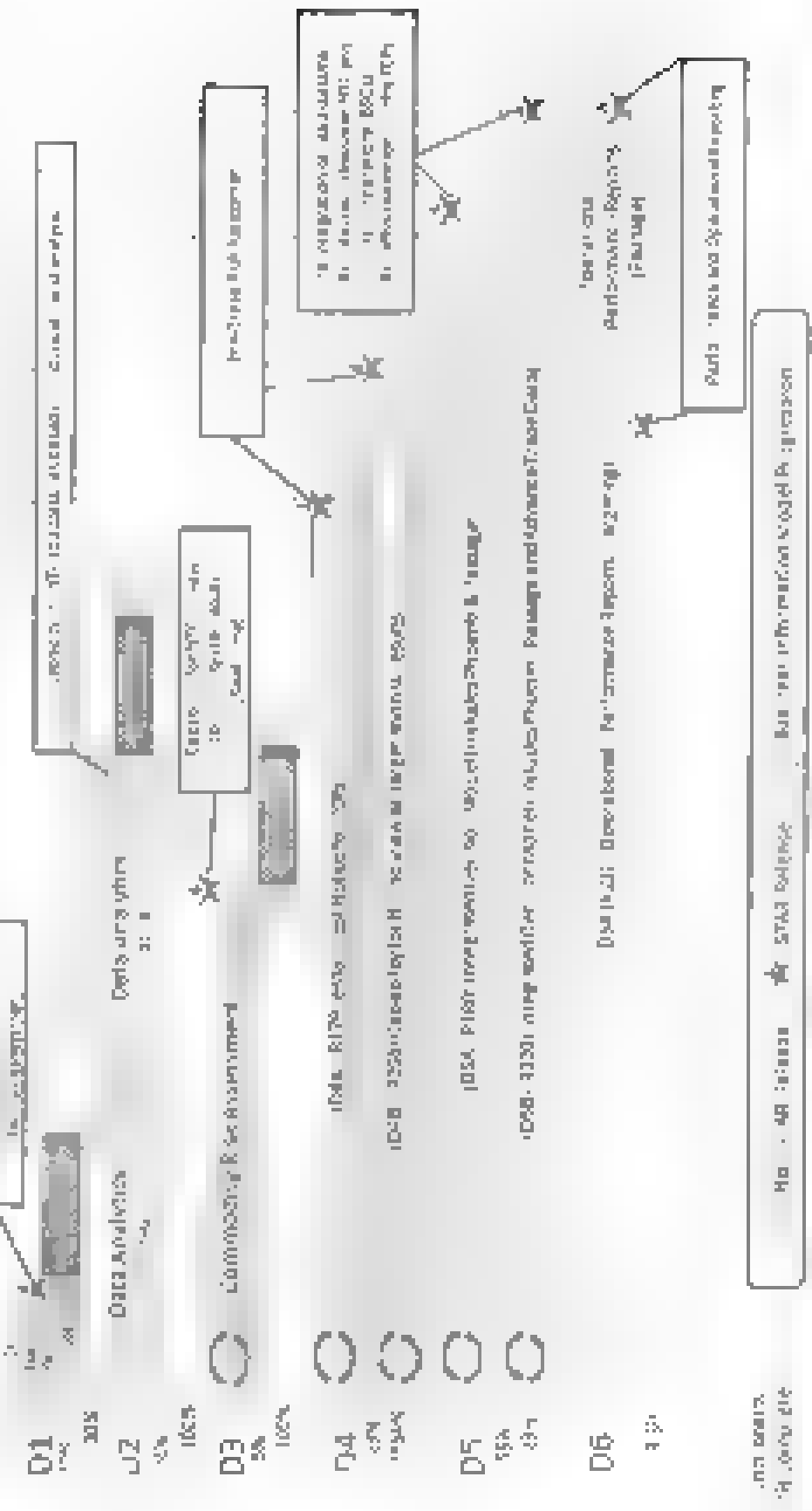
Reporting

- ✓ Highway Reporting
- ✓ Rail Reporting
- ✓ Freight Forwarder Reporting



Delivery Approach

2014-Apr 2014-Jul 2014-Oct 2015-Apr 2015-Jul 2015-Oct 2016-Jan 2016-Apr 2016-Jul 2016-Dec



Deployment 2 – Data Analytics

- The business case for D2 has been achieved with the successful completion of two releases

D2A The project implemented a subset of the Commercial Mining Mart on the new Enterprise Data Warehouse (EDW) Appliance with supporting data analytics to demonstrate the business value of moving to a 24 hour refresh rate Production Date October 22 2014

D2B The project augmented the 24 hour refresh of the D2A data sources with Business Information Model (BIM) and Commodity Risk Results data sources Production Date June 29 2015
- Data Analytics now forms part of the National Targeting Centre (NTC) approach to targeting high risk shipments and continues to evolve and expand analytical capabilities

Deployment 3

Commodity Risk Assessment

- D3 was successfully implemented in March 2015
- This was the start of Automated Risk Assessment and introduced the risk results User Interface (UI) that supports the viewing of shipments
- D3 provided the ability to view and modify High Risk Commodity rules and the capability for the NTC to view High Risk Commodity risk results (Real Time) in all modes
- In addition, it supports the ability to target or indicate high risk shipments using legacy commercial systems and allows the Program to assess the performance of High Risk Commodity rules in new system vs. legacy system, validating and improving the Automated Risk Assessment results



Deployment 4A – Notices

In January 2016, the CBSA will introduce new and enhanced notification systems to increase automation of pre- and post-arrival notices to clients on commercial movements

- The new eManifest notices were designed through consultations with external stakeholders and will provide insight into the "dispositio n" of their shipments
- New eManifest notices will advise on the completeness of advance data submitted to the CBSA and on the arrival and release statuses of shipments
- The notices align with the message that stakeholders receive from US CBP

Deployment 4B

Risk Assessment Program Maintenance (RAPM)

- Replaces existing targeting functionality ~ ACROSS (legacy system) scheduled for production ~ Apr 2016
- Commercial Analysts create medium-complexity targets on behalf of other government departments
- Intel and Targeting Operations create complex targets
- Intuitive wizard walks users step-by-step through the target creation process
- 500+ targetable elements and flexible operators enable creation of virtually any rule imaginable
- Library of standardized, pre-translated examination instructions ensures consistent communications between target creator and Targeting Officers/BSOs
- Ability to set target deactivation rules to avoid negative impact on Operations

Deployment 5

Integrated Decision Model

- Complete integration of risk assessment and passage decisions between NTC and field operations Border Services Officers (BSOs)
- Enhanced Program Integrity through "closing the loop" on examination results
- Advance Trade Data (ATD) in all modes supports Targeting Program provides clarity on what commodities are being imported by whom
- Fully integrated commercial processing system and application includes Single Window Initiative
- New Documents and Notices available to external clients
- The eManifest system becomes the new system of record
- Deployment 5A is scheduled for production in August 2016 and Deployment 5B for December 2016



Deployment 6

Operational and Performance Reports

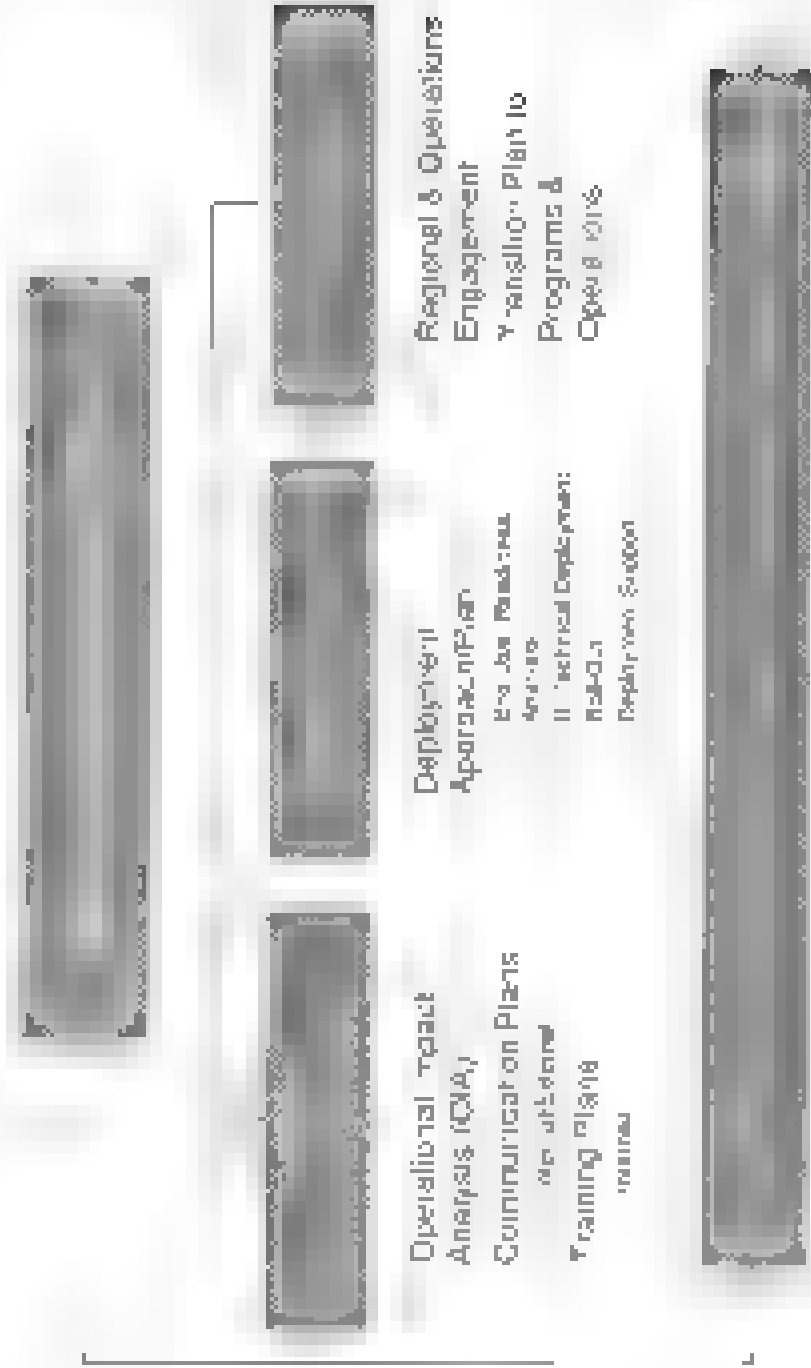
- The scope of D6A is to provide Risk Assessment Operational and Management Reports
- The scope of D6B is to provide Passage Operational and Management Reports
- This will allow for Program Performance and Operational Reporting and increased Decision Support for Programs

Target Production Date

- Deployment 6A (aligns with D4B production) April 2016
- Deployment 6B (aligns with D5B Production) December 2016



Implementation Strategy





eManifest Regulations Update

- From July 10, 2015, to January 10, 2016, carriers who do not comply with eManifest requirements may be issued zero-rated penalties (non-monetary) under the CBSA's Administrative Monetary Penalty System (AMPS)
- Beginning January 11, 2016, carriers who do not comply with eManifest requirements may be issued monetary AMPS penalties and will experience processing delays
- Freight Forwarders continue to be in a voluntary compliance period. Once 4A is in production and all system functions are available to electronically process consolidated imports, regulations will be enforced
- The Agency is working closely with carriers and freight forwarders on corrective measures to help them comply with eManifest requirements

Budget per Deployment

as of March 31, 2015 using Approved Project Cost Base (Version 40)

Deployment 1		Deployment 2 (2A)		Status	Completion %
Sub-Total (Prior to FY2014 15)	\$10.3M	Sub-Total (FY2014-15 onwards)	\$119.9M		
Deployment 1	\$10.3M	Deployment 2 (2A)	\$1.1M	✓	100%
Sub-Total (Prior to FY2014 15)	\$10.3M	Deployment 2 (2B)	\$3.4M	✓	100%
		Deployment 3	\$21.8M	✓	100%
		Deployment 4	\$34.9M	Ongoing	52%
		Deployment 5	\$42.4M	Ongoing	34%
		Deployment 6	\$16.3M	Ongoing	13%
Sub-Total (FY2014-15 onwards)			\$119.9M		
Total for All Deployments			\$130.2M		



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Appendix

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PROBATIONARY SERVICE



Deployment 2

"Data Analytics"

Scope

- Data Analytics capability to assist intelligence officers targeting teams in the National Targeting Centre (NTC) in the mining of the existing and historical trade data

Business Outcomes

- Capability for the NTC to assess risk based on historical trend analysis (e.g. anomalies in a companies Business Profile pattern and trend deviation)
- Identification of candidate risk indicators (e.g. use analytics to develop new rules based on vessel routing patterns, container delivery address)
- Modification of existing indicators based on analysis outcomes and new data feeds

Target Production Date

- ✓ Deployment 2A Implemented in Production October 2014
- ✓ Deployment 2B June 2015



Deployment 3

“Commodity Risk Assessment”

Scope

- Start of Automated Risk Assessment
- Introduction of the risk results Live Interface (UI) that supports the viewing of shipments
- Provide the ability to view and modify High Risk Commodity rules
- Implementation of High Risk Commodity rules to support Automated Risk Assessment of shipments

Business Outcomes

- Capability for the NTC to view High Risk Commodity risk results ,Real Time) in all modes
- Supports the ability to target or interdict high risk shipments using legacy commercial systems
- Ability for the Program to assess the performance of High Risk Commodity rules in new system vs legacy system
- Validating and improving the Automated Risk Assessment results

Target Production Date:

- ✓ March 2015



Deployment 4

"End-State Risk Assessment"

Scope

- Complete Automated Risk Assessment (all risk rules are executing and viewable)
- Implementation of initial eManifest new notices for Trade Chain Partners (TCPs)
- Implementation of the Single Window trade document (Integrated Import Declaration) as a release option
- Resolved identities of TCPs using Master Data Management
- Implementation of a risk rules simulation environment

Business Outcomes

- Capability for the NTC to view targets and all risk results (Real Time) in all modes
- Capability to assess the operational impact of implementing new risk rules (using simulation)
- The new notices provide desirable functionality to help improve communication between CB's/A and its clients as well as business-to-business communication
- Validation of the Risk Assessment Model (identification of low and high risk entities)
- Validation that the planned targeting work force can handle the volume

04A Target Production Date January 18-17-2016

04B Target Production Date April 2-3-2016



Deployment 5

"Integrated Decision Model"

Scope

- Integrated decisions and referrals Risk Assessment Passage and Single Window Initiative)
- Capture of examination results by front line operations
- End-state: Offices via Electronic Data Interchange and eManifest Portal
- Introduction of Advance Trade Data (ATD) from importers
- Implementation of end state eManifest trade document submission

Business Outcomes

- Complete integration of risk assessment and passage decisions between NTC and field operations Border Services Offices (BSOs)
- Enhance Program integrity through driving the loop on examination results
- Advance Trade Data (ATD) in all modes supports Targeting Program provides clarity on what commodities are being imported by whom
- Fully integrated commercial processing system and application includes SW
- New Documents and Notices available to external clients
- The eManifest system replaces the new system of record
- Full Benefits Realized for T, Pa Manifest Forward, Streamlined Border Processing)

DSA Target Production Date: August 2016

DSB Target Production Date: December 2016





Deployment 6

"Operational and Performance Reports"

Scope

- Risk Assessment Operational and Management Reports
- Passage, Operations and Management Reports

Business Outcomes

- Program Performance and Operational Reporting
- Increased Decision Support for Programs

Target Production Date-

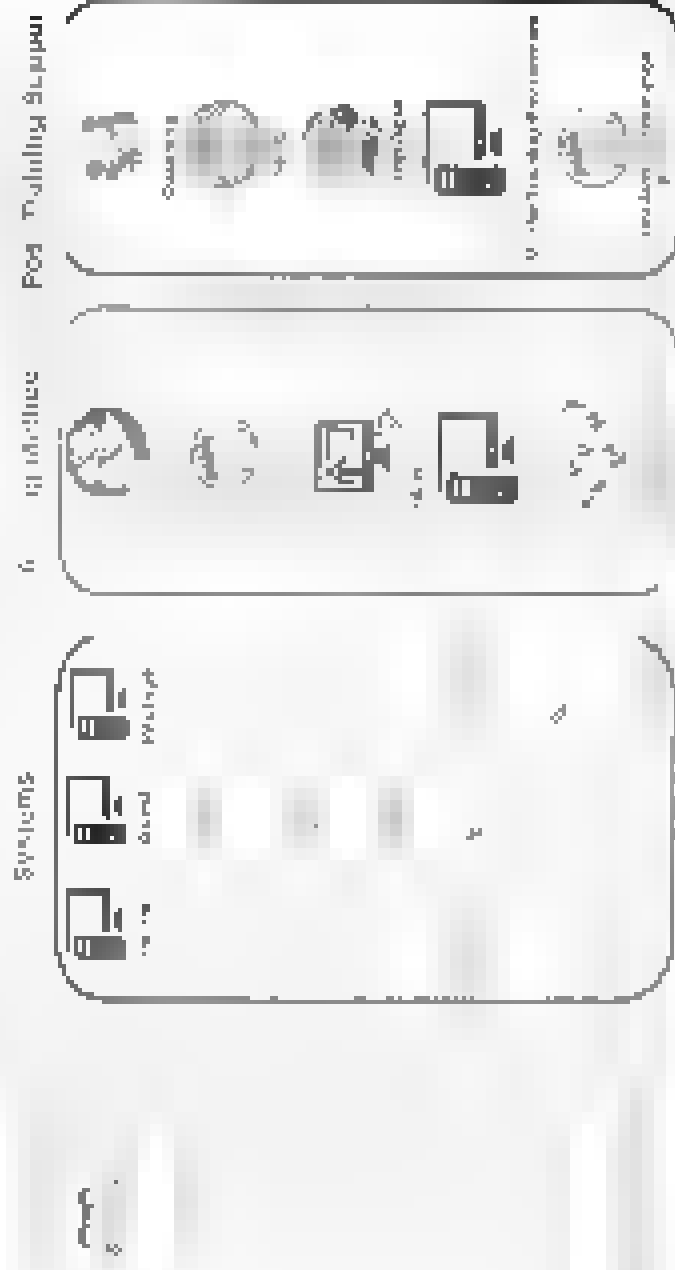
- Deployment 6A (aligns with D4B production): April 20 6
- Deployment 6B (aligns with D5B Production): December 2016

Change Management

- Recognize that end state will drive fundamental change to the CBSA commercial business model, specifically the commercial risk assessment process. Strong change management will ensure that the people, organization and cultural impacts are addressed in a structured and proactive manner
- The eManifest Stakeholder Engagement and Communications Strategy guides continuing project communications to internal and external stakeholders
- The external strategy is targeted for each trade group and focuses on the different set of functions available within a release
- The end state will have more impacts on the internal stakeholders as such, an internal communication strategy will be developed to include key messages for the different end users within CBSA

Training

- Strategy and training modules for end state model being developed in consultation with Programs and Operations Branches. Delivery of training will be dependant on deployment option selected.
- Training strategy includes the transition of the training into the core BSO Commercial Training program



Deployment and Transition

- 6 deployment options were identified, each of which was evaluated using 12 criteria with the goal of understanding the relative risks and benefits of each option
- Based on the initial review 3 options were short-listed for detailed analysis
 - Implementation across all Commercial End Users and Trade
 - Phased approach to internal end users, then External stakeholders
 - Phased approach with PIL deployed by port or region
- Recommendation will be presented at executive level for endorsement
- Transition from Project to Operation and Programs is happening as new "capabilities" are made available
 - The Data Analytics team moved to the National Targeting Centre (NTC) in April 2015
 - Funding and Resources necessary to support the maintenance of automated risk tools was transitioned to the NTC in September 2015



eManifest Project Update

November 28, 2014

*Briefing to the Senior Project Advisory
Committee by the Commercial Projects
Directorate*

Canada



Project Update

- Ongoing Project Oversight and Support activities including,

Working with Comptrollership and TB for briefing scheduled December 11th

Monthly reporting to TB\$ on Executive Dashboard and monthly reporting of Earned Value to Enterprise Project Management Office

Working with Comptrollership and PWGSC on amendments to existing supply arrangements to cover project timelines

Review of Third Party assessment of eManifest project Governance structure



Deployment 2 Business Solutions

Identification of shipments of interests based on intelligence received from the Nations, Targeting Centre (NTC)

Analytical tools that seek business pattern deviations based on known characteristics of a companies importing history

Analytical tool to assist targeting operations in identifying illegal shipments of precursor chemicals

Assesses pre-arrival commercial data and assists in identifying shipments of interest in the risk environment

Deployment 3

"Commodity Risk Assessment"

Scope

- Start of Automated Risk Assessment Business Rule Authoring using new rules engine
- Introduction of the risk results User Interface (UI) that supports the viewing of shipments
- Provide the ability to view and modify High Risk Commodity rules
- Implementation of High Risk Commodity rules such as Chemical, Weapon Pre-Cursors, Dual use commodities, High Risk woods for contraband concealment, Animal and Plant Pathogens, Bio-Toxins.

Business Outcomes

- Capability for the National Targeting Centre to view High Risk Commodity risk results (Real-time) in all modes.
- Supports the ability to target or interdict high risk shipments using legacy commercial systems
- Ability for the Operations to assess the performance of High Risk Commodity rules in new system vs legacy system
- Validating and improving the Automated Risk Assessment results
- Target Production Data: March 2015



Upcoming Activities

- Finalize work on TBS Ministers briefing.
- Finalize Supply Arrangement amendments for professional services
- Border Commercial Consultative Committee meeting December 5th
- Initiate User Acceptance Testing of Deployment 3
- Showcase Deployment 3 functionality to Project Sponsors in January 2015

Walton, Carole

From: Alison Melanik
Sent: May 2, 2016 10:46 AM
To: Pujuguet, Diana; Splante, Francine; Tardance, Carla; Foster, Melanie; Desjardins, Isabelle; Beiersdorfer, Barbara; Sorensen, Nancy (CBSA); Lane, June
Subject: PWF E-manifest stories

Very good email that details the targeting benefits that eManifest has brought to date for the Agency.

From: Mosca, Matt
Sent: May 9, 2016 2:52 PM
To: Alison, Melanie; Brabank, Marganta; Hotchkiss, David; Breakwell, Candace-Ann; Rice, Geoff; Jchman, Darren; Laquerre, Brenda
Subject: PW: E-manifest stories

Re: At a display at PIF the items below are some benefit stories done:

and:

Matt Mosca

A recent e-manifest story:
"From a car crash to a technology fix"
Candace-Ann Rice, Agriculture and Agri-Food Canada
Matt.Mosca@canada.ca 16 04 2016 15:14:16 -0400

Recent e-manifest story from P:
"E-manifesting the data information in the manifest to date"
David Hotchkiss, Agriculture and Agri-Food Canada
Matt.Mosca@canada.ca 16 04 2016 15:14:16 -0400

From: Leahy, Mike (CBSA)
Sent: May 6, 2016 8:18 AM
To: Scotlen, Michael; Soloway, Su; Clarks-Borger, Ruth
Subject: PW: E-manifest stories

"

From: Imrie, Megan
Sent: Thursday, May 5, 2016 3:39 PM
To: Walker, Christine (HQ)
Cc: Blanchard, Nathalie; Porter, Paul; Sorens, Zaina; Pinson, John; Xavier, Caroline; Bolduc, Martin; Chénier, Maurice
Subject: E-manifest stories

Hi Christine

As requested, please find input from Operations (thanks Paul!) and Programs in advance of the meeting with Finance. Probably more than you need, but we thought you could pick and choose the most compelling points.

Enhanced Analytics enhancing operational decision-making

- **Enterprise Data Warehouse** – AtlanticNet has enabled an enhanced enterprise data warehouse with 1+ years of data underlying a 24-hour clock, which has enabled the A-10 to enhance decision-making throughout the year. This has allowed users and managers alike to year after next will be providing a 24-hour stream of data which will enable the A-10 to enhance decision-making in Rail, Highway and Air.
- **Supporting Risk & Risk Management** – The A-10 is using the enterprise data warehouse to monitor, measure and analyse it in order to develop mitigation and minimise risk indicators by comparing the supply/demand of the A-10 and the supply and development of new use alongside, which in turn helps in the identification of high risk goods.
- **Advance Commerce Information Platform** – AtlanticNet the Agency did not have an automated means to deliver an information and alert in the Highway and Rail modes. The implementation at AtlanticNet has triggered the provision of Advance Commerce Information in Highway and Rail. After a few quarters, AtlanticNet requirement of Advance Arrival and Departure Message and Warehouse Arrival and Departure Message now can provide the agency, national awareness on the movement of targeted goods.

Hand Place is full compliance and represent 95% of all importers into Canada.

Highway Arrivals now provide mandatory Release Commerce information and have a high level of compliance.

By using these two modes, time along with marine, rail and air, the use are much lower towards paperless processes in the year. At south of import, Rail and Air into Canada each minute while better being able to identify threats to the health, safety, and security of Canadian products.

- **Business Intelligence** – AtlanticNet Analytics has enabled the A-10 to build models that allow identification and targeting of risk to what is not visible, compare, addition of phone numbers in a matter of seconds. The platform is heavily tool like to find risk.
- **Business Profiles** – The A-10 Analytics team has developed processes to identify normal and abnormal behaviour patterns for weekly businesses operating in Canada. This streamlines the A-10 to determine if shipments related to these businesses is of low, medium or high risk.
- **Commodity Profiles** – The A-10 Analytics team has developed processes to identify normal and abnormal behavioural patterns for weekly commodities being imported into Canada. This streamlines the A-10 to determine if imported commodities are of low, medium or high risk.
- **Product Analysis** – Product analysis began. The A-10 has developed product models that have been operationalised. The A-10 to identify high risk goods destined for Canada, but only when these countries will be operationalised. The Risk Indicator build database for automated targeted risk identified. One specific model resulted in the August 2017 and resulted in an analysis and also led to further alerts. The only one at the time profile we might build, the A-10 generating messages for response for reference, which was enabled by AtlanticNet and the programming of the enterprise data warehouse.
- **Visual Reporting** – The A-10 Analytics team has developed a tool that aids working officers to visualise their activities. The visual summarises movement data, including first time trade, two parties data and various data, etc. in detail a way that is not only accessible to all of the system and this was enabled by the AtlanticNet project.

- Enforcement & Intelligence – The NTI analytics team works closely with the intelligence analysis team to provide expertise on building analytical queries to create efficiencies and identify high-risk commercial entities
- Operational Decision Management (ODM) – The ODM risk rule development and maintenance software application permits the Targeting Risk Indicators and Scenarios team has enabled the CBSA to
 - Develop, analyse, create, build, error, activate, monitor and maintaining commercial risk indicators to be used with the new eManifest systems and functionality being delivered.

Significant CBSA Control and Interdictions

Provided below are a number of significant interdictions identified by the CBSA National Targeting Centre (NTC) through the direct application of E-manifest enabled advanced analytics. The NTC employs data analytics software to assist in the linking and analysis of data received from various sources (domestic and international partners, past seizures, high side intelligence). This transcends into the creation of Risk Assessment Targets, Intelligence Reports, Shift Briefings, targeting projects and successful interdictions.

Air Mode

Marine Mode

From: Bolduc, Martin
Sent: May 4, 2016 5:13 PM
To: Chénier, Naurice; Walker, Christine (HQ); Xavier, Caroline; Imrie, Megan
Et Blanchard, Nathalie
Subject: Re: E-manifest stories

Adages at www.adages.com and www.adages.com/quote

14

De: Chloé Mounier
Envoyé: mercredi 4 mai 2016 16:20
À: Muller, Christine (HQ) ; Bolduc, Martin
Objet: RE: E-mandats écoles



DE: $\mathbf{A}^T \mathbf{A} = \mathbf{I}$ must be made sure for every \mathbf{A} (think: no $\mathbf{A}^T \mathbf{A} = \mathbf{I}$ for \mathbf{A} being down with $\mathbf{A}^T \mathbf{A} = \mathbf{I}$ and $\mathbf{A} \mathbf{A}^T = \mathbf{I}$)

From: Walter (Christine 'HQ')
Sent: May 4, 2016 9:13 PM
To: Gröner, Maurice; Bolduc, Martin
Subject: E-manifest stones

- for the e-man to sub need specific examples of how e-manifest allowed us to target and find illicit goods

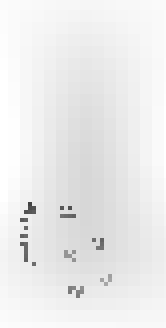
need by Friday Afd. □ stories which Michael Vandergift could use to present to TB to show the impact of his system

Sent from my BlackBerry 10 smartphone on the Rogers network



eManifest Update

Commercial Projects Directorate
Presentation to Pacific Region
September 2015



[Agenda](#)
[Introduction](#)
[eManifest](#)
[eManifest Update](#)
[eManifest Implementation](#)



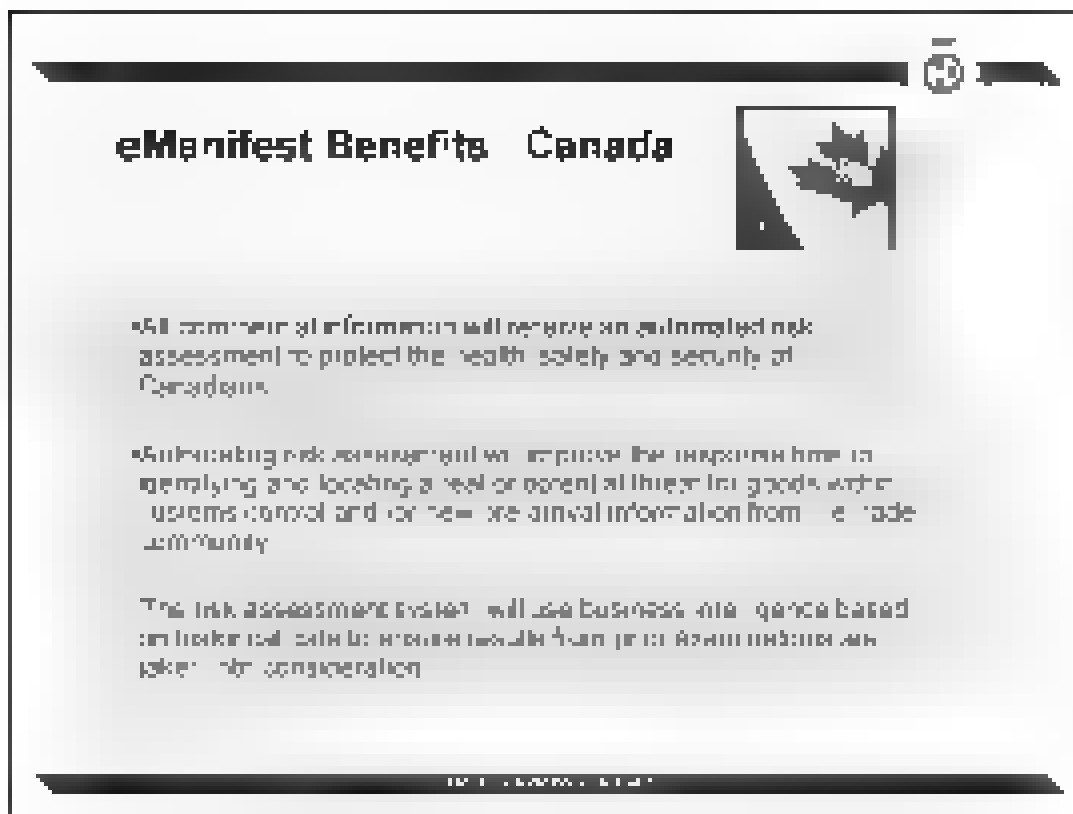

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Benefits (Canada, Trade, USCA)
Accomplishments to date
oManifest Process Flow
Data Acquisition
Risk Assessment
Passage
Business Intelligence
oManifest Training
Next Steps




eManifest

eManifest modernizes and enhances the screening of goods and commercial processes by improving the CBP's ability to detect shipments that pose a high or unknown risk prior to their arrival and facilitating the movement of low-risk shipments

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eManifest Benefits Canada

- All commercial information will receive an automated risk assessment to protect the health, safety and security of Canadians.
- Automating risk assessment will improve the response time in identifying and locating a vessel or person at threat for goods under customs control and for new or critical information from the trade community.
- The risk assessment system will use business intelligence based on historical data to ensure results from prior examinations are taken into consideration.

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*eManifest Benefits Canada slide

Key messages:

- eManifest will receive the right information from the right source at the right time
- Using this advance information up front, enables the Agency from a systemic perspective to see the risks
- We can use this data to determine
 - Who is Who?
 - Who knows Who?
 - What are the goods?
 - Is there a known risk?
- And thereafter build profiles and historically compare otherwise disparate data groupings



eManifest Benefits - Trade

As the new regulations require trade information to be submitted prior to arrival, trade can utilize their own data & communication with other trade chain partners: 'manifest forward'

Provides guidance and predictability for the international movement of goods

eManifests simplify the submission process for cargo by streamlining the submission requirements to one 'sub-modal option'

10-11-2016 09:00 AM

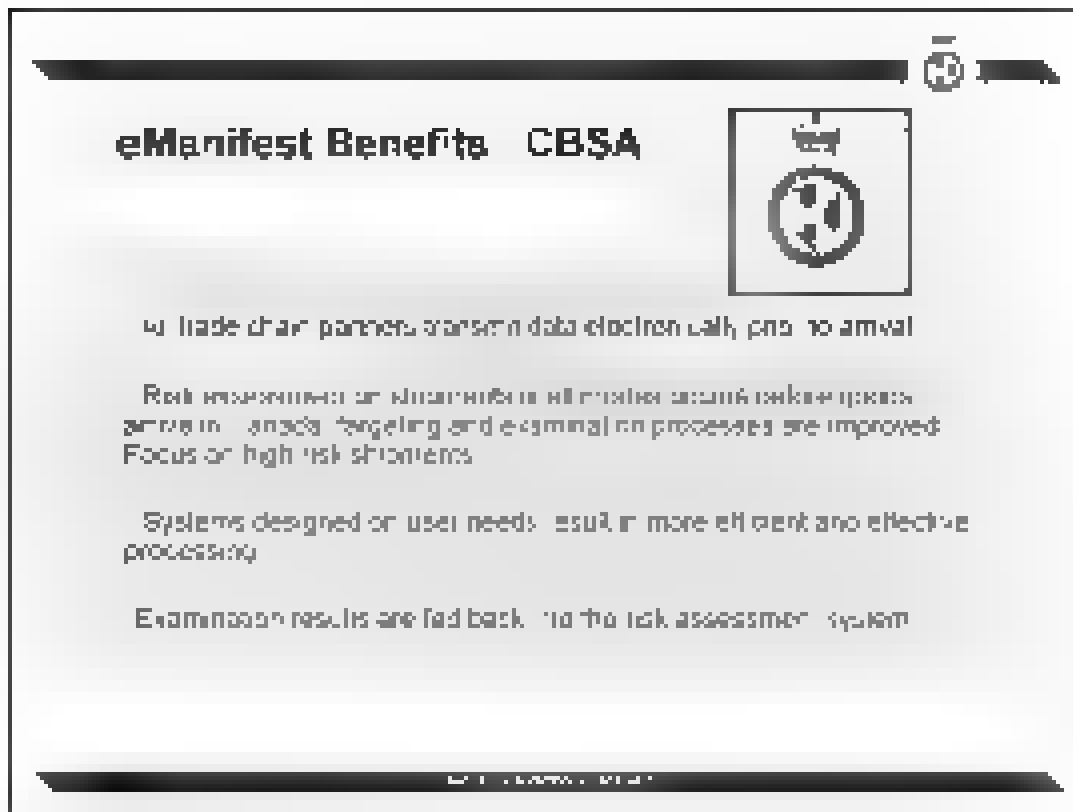
*eManifest Benefits - trade slide

Key messages:

Prior to eManifest there is no requirement for importers to provide information about the goods prior to arrival, so this information can only be used when available

This advance data provides more detailed information about the goods and enables greater exposure into the supply chain

When all trade chain partners provide data, entity relationships and linkages can be established. Trade can use their data, for example by electronically share notices and electronic documents, i.e. manifest forward in order to facilitate import movements. For example a carrier can electronically share their cargo and conveyance data with a broker who can prepare release documentation



The slide is titled "eManifest Benefits CBSA" and features a blue header with a CBSA logo. A large blue square on the right contains a white icon of a globe with a magnifying glass. The main content area is white with a light blue background and lists four benefits. A footer bar at the bottom contains the text "eManifest Benefits CBSA" in white on a dark blue background.

eManifest Benefits CBSA

- All trade chain partners transmit data electronically prior to arrival
- Risk assessment or determination will no longer require physical arrival in Canada; targeting and examination processes are improved; Focus on high risk shipments
- Systems designed on user needs result in more efficient and effective processing
- Examination results are fed back into the risk assessment system

eManifest Benefits CBSA

eManifest Benefits CBSA slide

Key Messages:

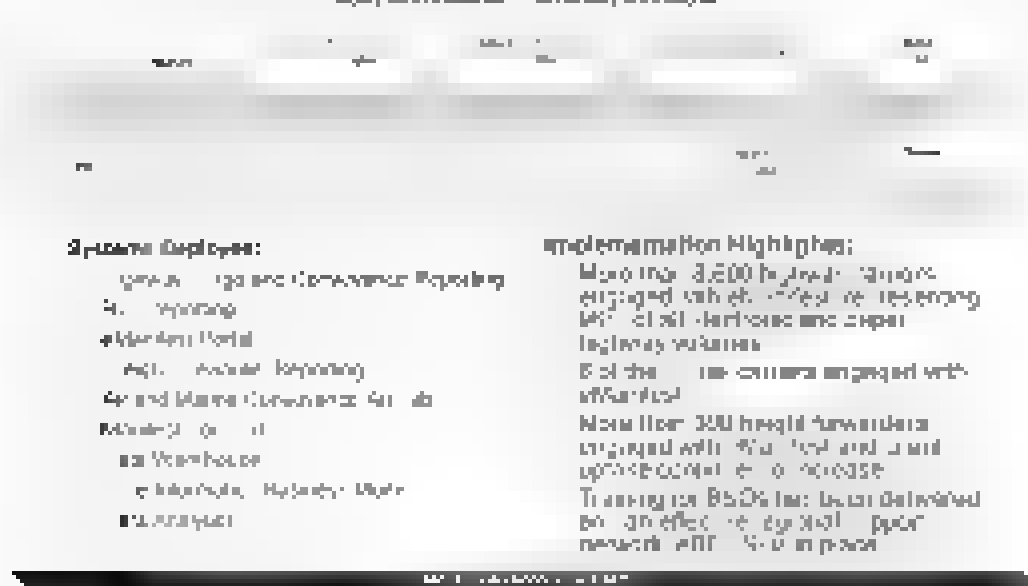
Our organization, CBSA, and our mandate, will significantly benefit from the investments that are being made as a result of eManifest, particularly in the risk assessment continuum

When all trade partners are transmitting, we will have predictability, we will have insight into their organizations, we will be able to analyze, learn and build the capacity of our risk assessment systems

We will see risks in advance

Manifest Accomplishments

www.elsevier.com/locate/jmb



Child's Accomplishments: slide

附註 附註附註附註

Building upon ACI Air and Marine the eManifest project has made significant achievements in moving the project forward.

The focus of the project in the beginning was to engage our trade chain partners and put in place the IT infrastructure investments and pieces so that we have the ability and capacity to receive the mandated data.

- Some of the highlights include

Since fall of 2008 we have been able to receive data from highway carriers and to date of the 6,500 carriers who are engaged with e1010at least representing approximately 95% of our highway volumes.

During this time we also designed, developed and implemented the eManifest Portal, a free option for certain trade chain partners to use to efficiently send their cargo and compliance data to the CBSA.

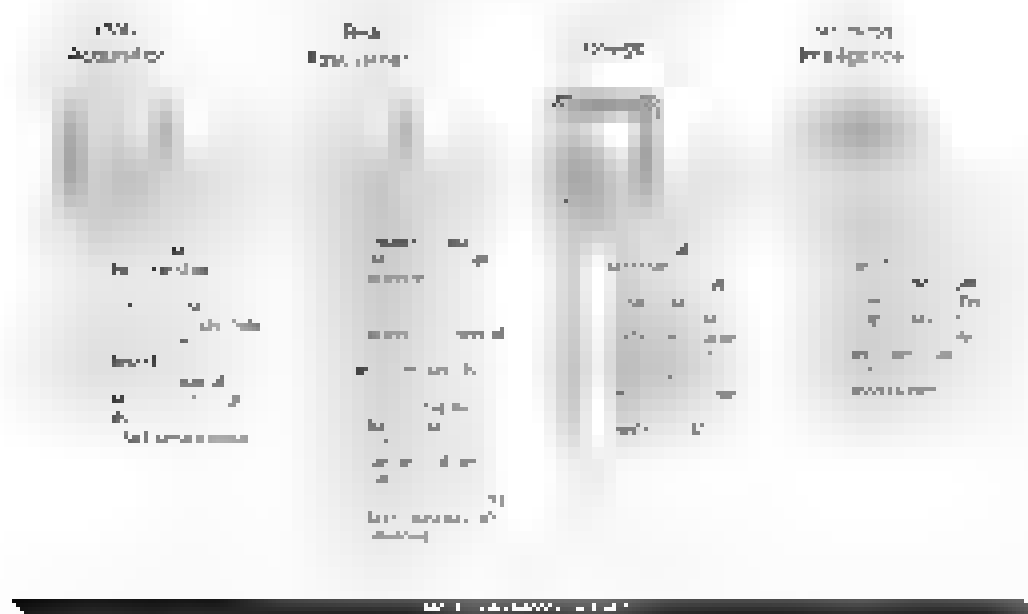
During 2012 we worked closely with the rail community and are receiving data from the major rail carriers.

Early in 2013 the project worked closely with the regions through the client's working group to implement the efficient regional external client support (eRECS). This service has been very welcomed and appreciated by the trade community as well as within the project itself. As well we have supported the region by delivering training based on operations needs.

More recently the project has been focused on building our data warehouse that will support the risk assessment systems being developed.



eManifest Process Flow



eManifest Process Flow slide

Key messages:

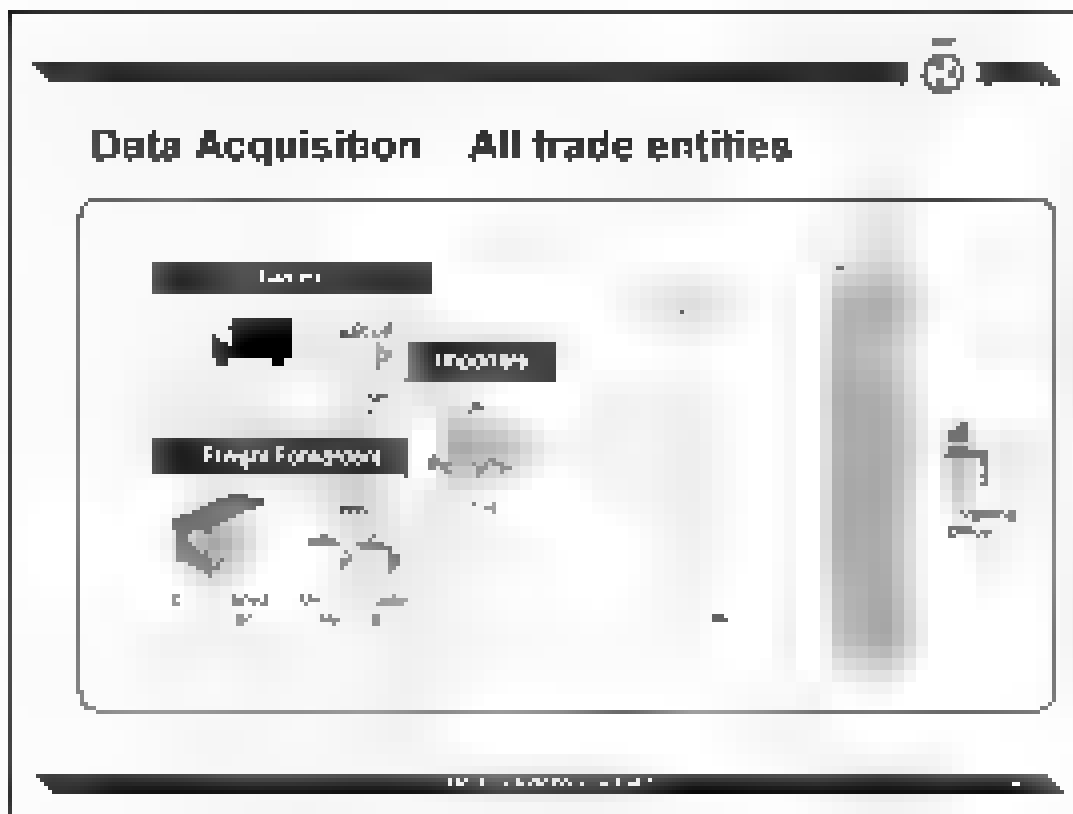
The project has been focused on 4 primary areas: Data Acquisition, Risk Assessment, Passage, and Business Intelligence

Full benefits realized for TCPs with electronic submissions, notifications, streamlined border processing and consistent national approach

Full benefits realized for internal stakeholders with an automated risk assessment process. Improved commercial business process with risk assessment on all data from all modes, streamlined examination results and better tools/applications for our Targeting Officers and front line officers

New Commercial border processing application (Passage) that will be used by BSOs to process commercial shipments as they enter Canada

eManifest systems becomes the new systems of record and there is full integration between the POEs and the NTC, with enhanced program integrity through 'closing the loop' on examination results



Data Acquisition All trade entities

Key Messages:

Documentation (ATDIPARS/RM0110 Cargo Conveyance Supplementary Housebills) is received from the Trade Chain Partners (TCPs) merged into an entity within the system and presented to the Targeting Officer as a holistic view of the shipment.

When data is received, cleaning tools will be used to improve the quality of data presented to the officer and will reduce costly requests for information (RFI) to the Trade. (Addresses identities)

Clusters of the best quality data are pulled from multiple trade documents and organized into entities for risk assessment (shipment conveyance and equipment)

- Single user can assess trade information from all TCPs, AC, data and commercial release and make an admissibility and release decision against the entity.



Threat Based Scoring (TBS)

Calculates and displays risk in each threat category individually

TBS recognizes that different categories of risk have signatures of different sets of risk indicators

Risk indicators are grouped into one or more threat categories

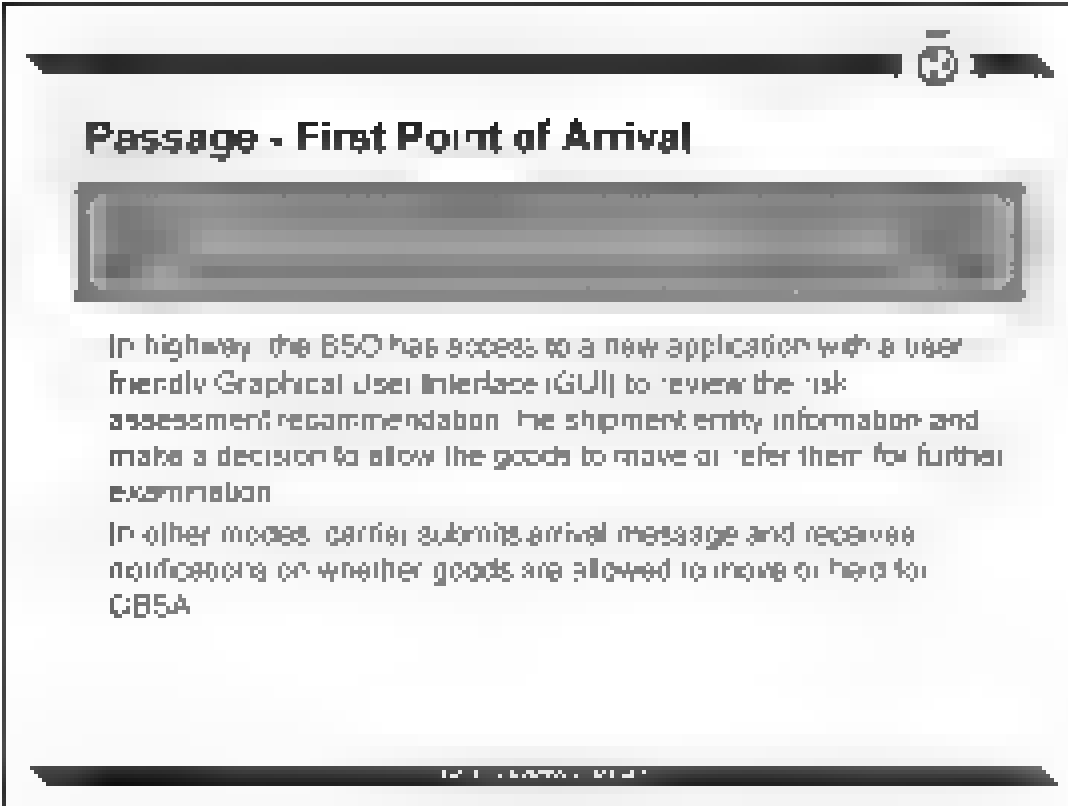
Each threat category is scored individually

Threat Based Scoring (TBS): slide

Key Messages:

- Risk assessment will expand to include shipments in all modes
Risk scoring will expand to validate conveyance, cargo, secondary cargo and admissibility release information

Threat-based scoring will assign a numerical risk score to each shipment so high risk shipments can be flagged for review
The creation and management of risk rules allows for greater responsiveness than the legacy process
Based on risk scores and categories, shipments below certain risk scoring thresholds will be automatically recommended for release
This eliminates low risk shipments (EUR) from a mandatory review by a targeting officer



Passage - First Point of Arrival

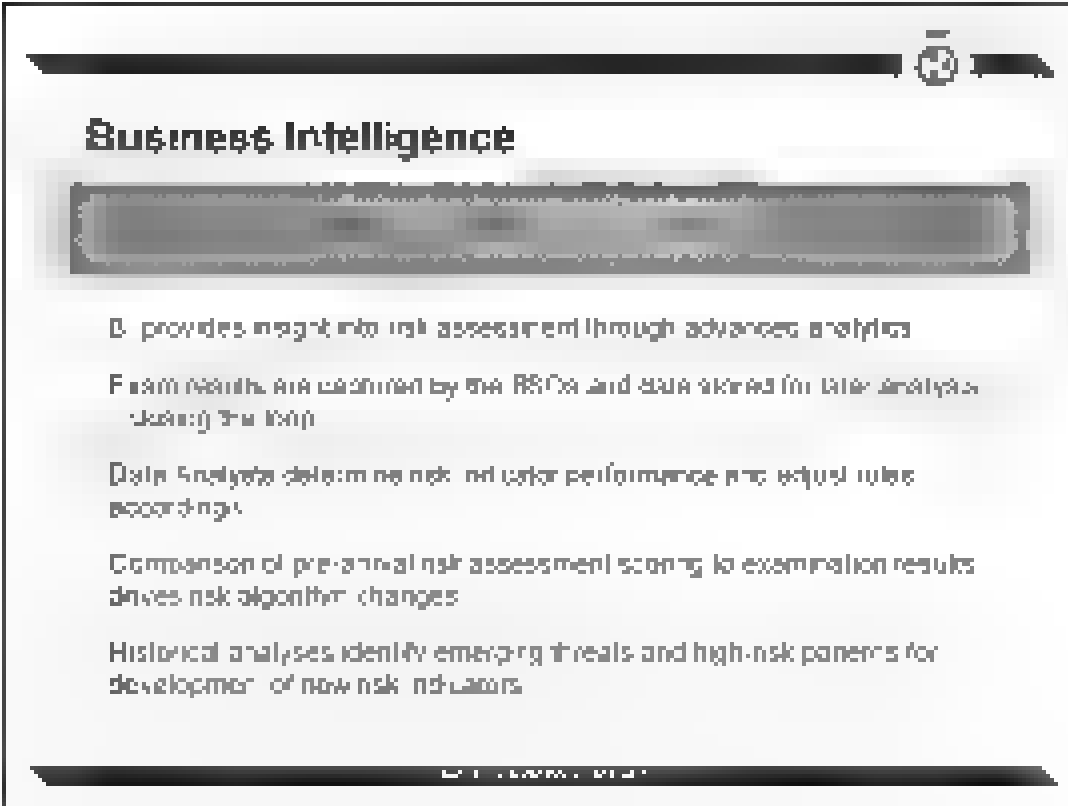
In highway, the BSO has access to a new application with a user friendly Graphical User Interface (GUI) to review the risk assessment/recommendation, the shipment entity information and make a decision to allow the goods to move or refer them for further examination.

In other modes, carrier submits arrival message and receives notification on whether goods are allowed to move or held for CBSA.

Passage - First Point of Arrival slide

Key Messages:

The changes with the Passage system will allow the BSO to focus on their Core Mandate - Examination and evaluating high risk at the border.



Business Intelligence

BI provides insight into risk assessment through advanced analytics

Risk Indicators are examined by the RSCs and data skewed for later analysis during the loop

Data Analysts determine risk indicator performance and adjust rules accordingly

Comparison of pre-annual risk assessment scoring to examination results drives risk algorithm changes

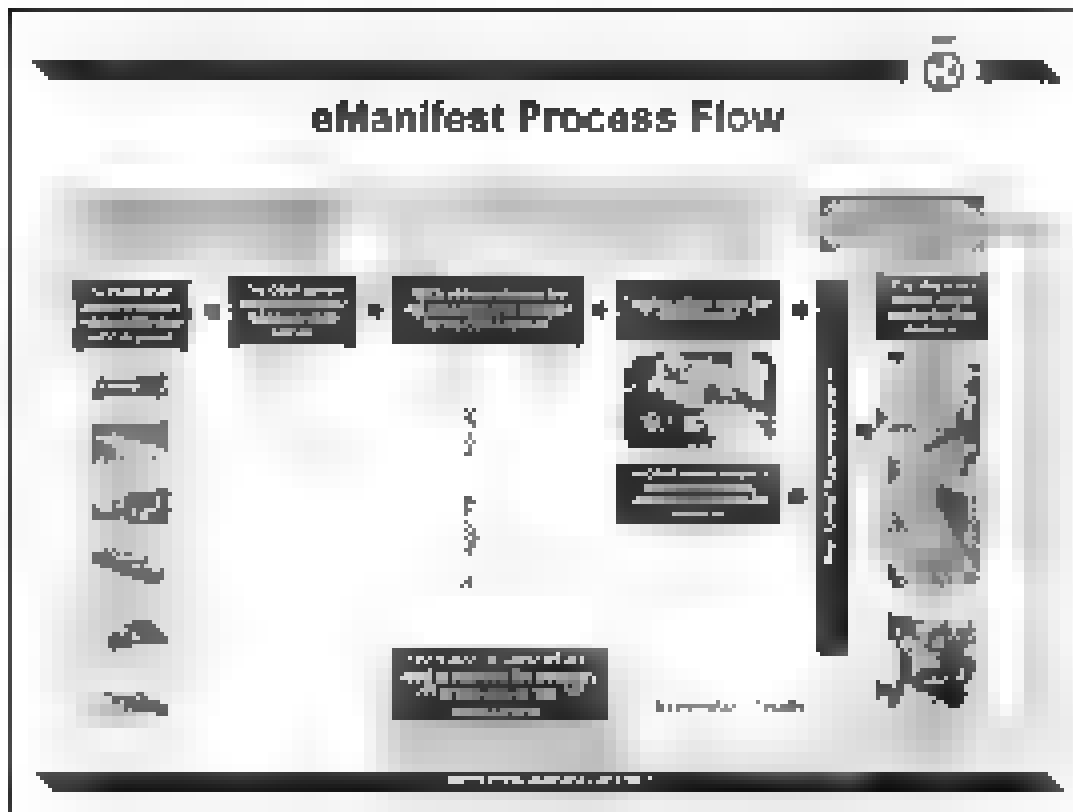
Historical analyses identify emerging threats and high-risk patterns for development of new risk indicators

Business Intelligence slide

Key Messages

The Agency will experience long term dividends with the investments being made in the area of Business Intelligence

'Closing the loop' between identifying potential risk, conducting examinations based on those risk indicators, and finally by confirming the results of those examinations will allow the Agency to improve our risk assessment capabilities



'eManifest Process Flow' slide

The slide represents and summarizes the 4 main areas that have been described on the previous slides and visually represents the operational business flow of the data at stages before, during, and after the border.



eManifest Training

The eManifest Training Strategy activities will ensure informed personnel are trained to use the new systems.

The Commercial Projects Directorate's Project Training Unit is developing and delivering training material for impacted BSA end-users.

A wide range of training products and activities will be delivered according to operational impacts and the complexity of the functionality, processes, and policies involved.

Regional eManifest resources will be used to validate and make recommendations on training products.

Chief Working Group eREC'S IP-SOR Regional Programs

CONFIDENTIAL

eManifest Training slide

Key Messages:

The project has and continues to work closely with Operations and Program areas to support BSOs with the knowledge of how to process eManifest shipments.

The CBSA is implementing operational training activities to help employees acquire knowledge and skills required to use the new systems and processes implemented by eManifest.

This will be done in consultation and collaboration with the Training and Development Directorate, Commercial Operations, Commercial Programs, the Chiefs Working Group, and eREC'S personnel.



National Targeting Centre (NTC) Training slide

This slide provides a high level overview of the training strategy for the National Targeting Centre

Training on the two primary eManifest systems: Phoenix, RAPM

Various Training methods will be used and post-training support will be provided to the users

Additional details

Training Summary

RAPM (Risk Assessment Program Maintenance)

350 end-users: National Targeting Centre (NTC) Targeting Officers and Superintendents, Commercial Analysts, and HQ end-users

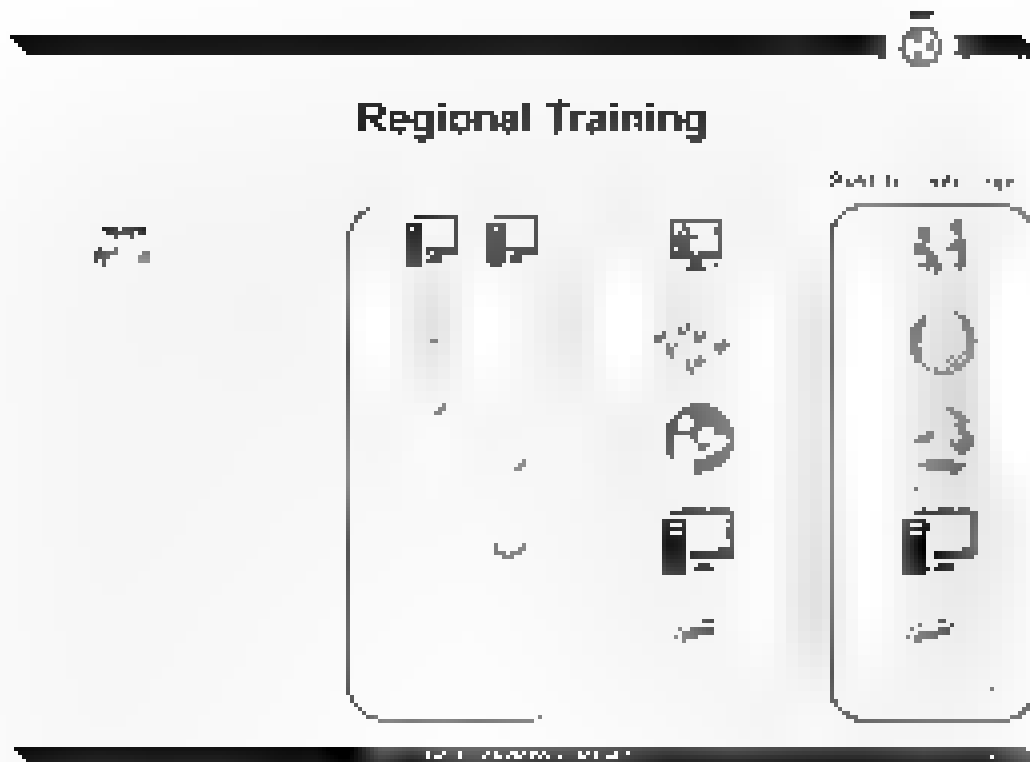
Training duration: ~Up to 1 day of training per end-user

Phoenix

150-200 end-users: NTC Targeting Officers and Superintendents and HQ users

Training duration: ~Up to 2 days of training per end-user

Post training support will be as-required based on observations during training, training evaluations, and feedback from end-users



Regional Training slide

Key Messages:

- This slide provides a high level overview of the training strategy for the employees in the regions
- Training on the two primary eManifest systems: RAPM for regional intelligence and Passage for FOF personnel
 - Various Training methods will be used and post-training support will be provided to the users
- Our next steps with training include
 - In the coming weeks and months, we will consult with the Regions: Commercial Programs, Commercial Operations, and the Chief Working Group to ensure effective operational planning for training
 - For our design and development of training we will be collaborating with TDD

Additional Details:

Passage

- 5000 end-users: BSOs, Superintendents, Clerks in all modes, and HQ users
- Training duration: ~ Up to 3 days of training per end-user

Benefits of eManifest

1. **Enhanced information sharing** from all sources
2. **Tools for better decision-making** at the border
3. **Enhanced risk assessment** capacity at the border
4. **Enhanced information** for the trade
5. **Tools for high risk assessment** for security at the border
6. **Enhanced information** for the trade
7. **Enhanced information** for the trade
8. **Enhanced information** for the trade

The current reliance on paper documentation is burdensome and not easily used for risk assessment

- Information from various sources at different times leads to an incomplete picture of the whole shipment
 - Insufficient regulations on information required from trade to ensure proper security at the border
- Aging systems with limited functionality, which takes time for officers to process at the border
- Uncertainty for trade about status of processing of their shipments at the border

After eManifest

- 100% Electronic documentation for more comprehensive information regarding risk decision-making
- Shipment information from all sources linked to see the whole picture of an importation
- New regulations will ensure the Agency has the necessary information to make informed decisions
- New user-friendly systems that will facilitate informed and efficient decision making at the border
- Improved two-way electronic messaging with trade that will help all TCPs share information on shipment status throughout the process

Next Steps

- Future eManifest releases
 - Fall/Winter: Trade will be able to receive new notices regarding shipment status
 - Spring 2016: National Targeting Centre will be able to view targets and risk assessment results (Deployment 4)
 - Winter 2016/2017: National Targeting Centre is able to make risk assessment decisions. Implementation and training activities will thereafter follow allowing shipments to be processed at CBSA Offices using the Passage application
- Working with the Programs and Operations Branch to communicate process pertaining to regulatory compliance

Next Steps slide

Key Messages:

- The project is focussed on implementing significant releases
 - Programs Operations and IST Branches are working together on communicating regulatory compliance timelines
 - In the coming weeks and months we will consult with the Regions, Commercial Programs, Commercial Operations, and the Chief Working Group to ensure effective operational planning for training

Compliance Timelines as per the CBSA website:

On May 5, 2015 regulatory amendments supporting the eManifest initiative were published in the Canada Gazette. Part III eManifest requirements for highway carriers are now mandatory and the Agency is working with carriers on corrective measures to help them comply with requirements. The following implementation timelines apply:

- From July 10, 2015, to January 10, 2016 carriers who do not comply with eManifest requirements may be issued zero-rated penalties (non-monetary) under the CBSA's Administrative Monetary Penalty System (AMPS)
- Beginning January 10, 2016, carriers who do not comply with eManifest requirements may be issued monetary AMPS penalties

Additional information communicated by Customs Notice 5-030: Inform eManifest Requirements Respecting Entry Highway and Rail Conveyances and In-transit

Highway and Rail Conveyances

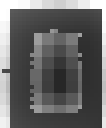


eManifest Build 1 Privacy Impact Assessment (PIA) PROTECTED B

CRAAI
May 2014 Ver 1.0

Revision History

Version	Author	Subject	Date
1	Carla Custance	First Draft	April 8, 2013
2	Carla Custance	Updated with Michael Patenaude's comments	April 12, 2013
3	Robin Lurie-Munroe Maggie Plouffe	Recommendations from AEP	May 7, 2013
4	Carla Custance	Changes Based on AEP's and Privacy Consultant's recommendations	May 8, 2013
5	Carla Custance	Changes based on PIA Working Group feedback	June 1, 2013
6	Carla Custance	Changes based on Privacy Consultant feedback and final PIA Working Group feedback	June 4, 2013
7	Carla Custance	Small wording changes and added text to detail for question 3 based on manager feedback	July 1, 2013
8	Carla Custance	Updated based on AEP final feedback	August 2, 2013
9	Carla Custance	Updated based on legal Service comments and final review	August 2, 2013
10	Carla Custance	Revised the TRA section. Amended to include the addition of CMRA and AEP that will be used to support Risk Assessment in Banknote as well as the operational use of the data and release	November 4, 2013 July 1, 2014



change introductible

Version	Date	Change Made By	Change Requested By	Change
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1. ☐ 2. ☐ 3. ☐ 4. ☐ 5. ☐ 6. ☐ 7. ☐ 8. ☐ 9. ☐ 10. ☐ 11. ☐ 12. ☐ 13. ☐ 14. ☐ 15. ☐ 16. ☐ 17. ☐ 18. ☐ 19. ☐ 20. ☐ 21. ☐ 22. ☐ 23. ☐ 24. ☐ 25. ☐ 26. ☐ 27. ☐ 28. ☐ 29. ☐ 30. ☐ 31. ☐ 32. ☐ 33. ☐ 34. ☐ 35. ☐ 36. ☐ 37. ☐ 38. ☐ 39. ☐ 40. ☐ 41. ☐ 42. ☐ 43. ☐ 44. ☐ 45. ☐ 46. ☐ 47. ☐ 48. ☐ 49. ☐ 50. ☐ 51. ☐ 52. ☐ 53. ☐ 54. ☐ 55. ☐ 56. ☐ 57. ☐ 58. ☐ 59. ☐ 60. ☐ 61. ☐ 62. ☐ 63. ☐ 64. ☐ 65. ☐ 66. ☐ 67. ☐ 68. ☐ 69. ☐ 70. ☐ 71. ☐ 72. ☐ 73. ☐ 74. ☐ 75. ☐ 76. ☐ 77. ☐ 78. ☐ 79. ☐ 80. ☐ 81. ☐ 82. ☐ 83. ☐ 84. ☐ 85. ☐ 86. ☐ 87. ☐ 88. ☐ 89. ☐ 90. ☐ 91. ☐ 92. ☐ 93. ☐ 94. ☐ 95. ☐ 96. ☐ 97. ☐ 98. ☐ 99. ☐ 100. ☐ 101. ☐ 102. ☐ 103. ☐ 104. ☐ 105. ☐ 106. ☐ 107. ☐ 108. ☐ 109. ☐ 110. ☐ 111. ☐ 112. ☐ 113. ☐ 114. ☐ 115. ☐ 116. ☐ 117. ☐ 118. ☐ 119. ☐ 120. ☐ 121. ☐ 122. ☐ 123. ☐ 124. ☐ 125. ☐ 126. ☐ 127. ☐ 128. ☐ 129. ☐ 130. ☐ 131. ☐ 132. ☐ 133. ☐ 134. ☐ 135. ☐ 136. ☐ 137. ☐ 138. ☐ 139. ☐ 140. ☐ 141. ☐ 142. ☐ 143. ☐ 144. ☐ 145. ☐ 146. ☐ 147. ☐ 148. ☐ 149. ☐ 150. ☐ 151. ☐ 152. ☐ 153. ☐ 154. ☐ 155. ☐ 156. ☐ 157. ☐ 158. ☐ 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Privacy Impact Assessment Date	19 May 2013
Version	01
Office of the Privacy Commissioner (s. 8)	0509 0
Project Implementation Plan (if applicable)	
Related Institution	Canada Border Services Agency – CBSA
Related Class or Record Number	CBSA 5-002
Personal Information Bank	CBSA PFI 148
For prompt Official Responsible for PIA	Vice President, Program Branch
Delegate for section 10 of the Privacy Act	Act and Privacy Director

Act and Privacy Act

Manifest Build 1

Manifest – the third phase of the Advance Commercial Information (ACI) program, which mandates the submission of electronic pre-arrival commercial information, increasing the Canada Border Services Agency's (CBSA) ability to perform an effective risk assessment prior to the commercial goods arriving at customs. The ACI program is about getting the right information at the right time to enhance the CBSA's ability to identify potential threats to Canada, while facilitating the movement of low-risk commercial goods across the border.

The CBSA successfully implemented Phase I (Marine mode) and Phase II (Air mode) of the ACI program in April 2013 and June 2013, respectively. Phase III of the ACI initiative (landed) extends the requirements of the Phases I and II to the highway and rail modes. Furthermore, once fully implemented, lander will require commercial carriers (freight forwarders and importers or their brokers) to all modes of transportation (air, marine, highway and rail) to electronically transmit pre-arrival cargo conveyance, house bill-supplementations, cargo and importer advanced trade data to the CBSA, as well as crew information.

lander will be implemented in three builds as follows:

- **Build 1** includes electronic pre-arrival submission of cargo and conveyance information in the Highway mode (implemented October 2013), rail mode (implemented May 2014) and house bill in all mode (implemented in June 2014), and the introduction of the Manifest Portal advanced information transmission method and enhanced notification processes (August 2014).
- **Build 2**, which will be implemented at a future date, will include the optional electronic pre-



carriers and freight forwarders who wish to submit information through the eManifest Portal must register for an account. The process begins with user authentication offered by the government of Canada outside the scope of the PIA. Then the BSA requires Business Account users to obtain a shared secret and register for both a Portal Business Account and User Account; all three of these steps require contact information to be provided. In addition, language preferences are required to create a Portal User Account. Account holders may designate other users for their account. These other users only register for a Portal User Account. The contact information will not have any other use outside of registration, testing and client support. All Portal users are also issued a Unique Reference Number (URN) for identification purposes.

Similarly, carriers and freight forwarders wishing to submit information through EFM must provide contact information as part of the registration process. This information will only be used for registration, testing and client support.

The eManifest compliance management framework provides for client support plans and compliance management plans which include communications outreach activities, policy and technical support helpdesks and compliance management activities which are all designed to educate clients and promote compliance.

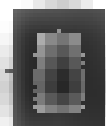
The BSA is implementing the following to enhance the privacy protections of the personal information collected for eManifest Build:

- Registering a personal information bank (PIB) for eManifest with Access to Information Canada Secretariat (CTSI) for publication in Info Source
- Restricting the use of trade document personal information to risk assessment, admissibility, business analytics, compliance monitoring and client support.
- Restricting the use of registration personal information to registration, testing and client support; and
- Limiting access to the databases containing the personal information.

Right of Access

An individual will be informed of the purposes, uses, disclosure and retention of his/her personal information through a Privacy Notice Statement (PNS). Portal clients will view and accept this PNS in the terms and conditions every time they log on to the Portal. This PNS will also be included in the paper registration process required for EDI clients.

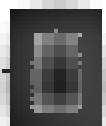
An individual may formally request access to his/her personal information or access to corporate records related to or created by eManifest by contacting the Access to Information and Privacy (ATIP) Division. More information about this can be found at <http://www.cbsa-csf.gc.ca/agencies-agences/reports-reports/mra-clip/slip-siprg/menu-eng.html>



Accountability

If an individual has concerns about the collection, use, disclosure or retention of border personal information, he/she may want to complain to the CSIA. A "IP" complaint should be made in writing, and include the individual's name, contact information and a brief description of his/her concern.

Write information to the Access to Information and Privacy Division of the CSIA can be found at <http://www.cba-asl.gc.ca/border-services-agency/csp/csp-appeals/pla-cl-p-appeal/pplp/contact-eng.html>



ABBREVIATIONS AND ACRONYMS

The following is a list of abbreviations and acronyms used in this report:

ACI	Advance Commercial Information
ACROSS	Accelerated commercial Release and Operations Support System
ADIP	Access to Information and Privacy
BSA	Canada Border Services Agency
CEP	Customs Electronic Commerce Platform
CN	Commercial Customs System
CP	Customs and Border Protection
CR	Cost of Return
CS	Commercial Trade Services
DSO	Department of Security Officer
ELR	Electronic Commerce and Requirements document
EL	Electronic Commerce List
EDI	Electronic Data Interchange
FPA	First Point of Arrival
GC	Government of Canada
GS	Government of Canada Security Policy
HQ	Headquarters
ID	Identification
ISA	Information sharing Agreement
ITM	Information Technology/Information Management
LAN	Local Area Network
MOU	Memorandum of Understanding
N	National Targeting Centre
OPC	Office of the Privacy Commissioner of Canada
PA	Privacy Act
PAA	Postal Application Administration
PDF	Portable Document Format



PI	Personal Information
PIA	Privacy Impact Assessment
PIB	Personal Information Bank
REDA	Records Disposition Authority
RTS	réseau / Réseau Secretariat
PIVS	Privacy Notice Statement
CCP	code / Code Pannet
RA	Review and Risk Assessment
TSU	Technical Support Unit
URN	User Reference Number
US	United States
VP	Vice-President
VPN	Virtual Private Network



CBSA to identify a carrier approved by the CBSA

Confidentiality



Donny

Data Matching

that is subject to the various requirements of the *Privacy Act*



Trade Union Partner (TUP): A trade union partner includes any individual or business involved in the import and export of commercial goods, and includes importer, broker, carrier, freight forwarder, agent, provider, consignor, other designated agent

SECTION OVERVIEW AND INITIATION

Report Objectives

This report is a Privacy Impact Assessment (PIA) for Build – of the eManifest project of the Canada Border Services Agency (CBSA). The objectives of this PIA are:

- to review the business processes in order to identify the flow of personal information;
- to analyze the collection, use, disclosure and retention of personal information;
- to determine if there are privacy risks associated with the Build – of the eManifest project; and
- to provide recommendations on the mitigation or elimination of the risks.

The information presented in this report follows the *Directive on Privacy Impact Assessment (DPIA)*.

The purpose of a PIA process is to ensure that privacy is considered throughout the project development cycle. The result of a PIA are a documented guarantee that privacy issues have been identified and subsequently addressed.

Government Institution: Canada Border Services Agency (Programs Branch)

Government Official Responsible for the
Privacy Impact Assessment:

Maurice Joffe, Vice-President

Head of the government institution / Delegate
for section 0 of the Privacy Act

Don Proulx, Privacy Director

Name of Program or Activity of the Government Institution

eManifest Initiative: Build



Description of Programs or Activities

Event Description

1. _____

2. _____

3. _____

4. _____

5. _____

6. _____

7. _____

8. _____

9. _____

10. _____

potential risks to the security and safety of people and goods

Targeting

1. _____

2. _____

3. _____

4. _____

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7. _____

8. _____

9. _____

10. _____

Reproduction of the chain of records associated with the program or activity

1. _____

2. _____

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10. _____

Reproduction of the

1. _____

2. _____

3. _____

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10. _____



Legal Authority for Program or Activities

Summary/Authorities

Section 12.1 Customs Act

12.1 Before the arrival of a conveyance in Canada, the owner or person in charge of a conveyance who is prescribed or any other prescribed person shall give the Agency prescribed information about the conveyance and the persons and goods on board or expected to be on board the conveyance.

12.2 A person who is required to provide information under subsection 12.1 shall hold a valid carrier code unless they are exempt.

12.3 An application for a carrier code shall be made in the prescribed form with the prescribed information.

12.4 The Minister shall issue a carrier code to a person who applies for it if the application meets the requirements referred to in subsection 12.2 and the Minister is satisfied that the prescribed requirements and conditions for the carrier code to be issued have been met.

12.5 The Minister may, subject to the regulation, suspend, cancel or reinstate a carrier code.

12.6 The Minister may issue a notification to any person who provides information under subsection 12.1 to require the person to take any specified action with respect to the information.

12.7 The person to whom a notification is issued shall comply with the notification.

12.8 The Governor in Council may make regulations for the purposes of this section including regulations:

(a) respecting the information that must be given under subsection 12.1;

(b) prescribing the persons or classes of persons who must give the information under subsection 12.1;

(c) respecting the circumstances in which the information must be given under subsection 12.1;

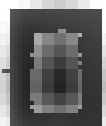
(d) respecting the time within which and the manner in which the information must be given under subsection 12.1;

(e) regarding the requirements and conditions that are to be met before a carrier code may be issued;

(f) regarding the persons or classes of persons who are exempt from holding a valid carrier code; and

(g) regarding the manner and circumstances in which a carrier code may be suspended, cancelled or reinstated.

Section 18.2 Customs Act



10.1 The Ministry that made the third amendment will also require an assessment of the impact of the amendment on the health of the community and the social and economic conditions of the community.

10.2 The Ministry that made the

third amendment will also require an assessment of the impact of the amendment on the health of the community and the social and economic conditions of the community.

10.3 The Ministry that made the

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The following regulations are also being updated:

Customs Sufferance Warehouse Regulations

Proposed coming into force date: Summer of 2014

The Customs Sufferance Warehouse Regulations will be updated to reflect the changes to the Customs Act and the Customs Regulations. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.

Transportation of Goods Regulations

The Transportation of Goods Regulations will be updated to reflect the changes to the Customs Act and the Customs Regulations. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.

Designated Procedures of Customs Regulations

The Designated Procedures of Customs Regulations will be updated to reflect the changes to the Customs Act and the Customs Regulations. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.

- 1. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.
- 2. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.
- 3. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.
- 4. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.
- 5. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.
- 6. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.
- 7. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.
- 8. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.
- 9. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.
- 10. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.

The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014. The proposed changes will be published in the Canada Gazette, Part II, Volume 148, Number 1, in the summer of 2014.



Shipment Project (Review Model 1 to Model 3)

Process

The process for the shipment project is shown in the following diagram. The process starts with the receipt of a shipment, followed by the receipt of a bill of lading, and then the receipt of a bill of lading copy. The process then moves to the receipt of a bill of lading copy, followed by the receipt of a bill of lading copy, and then the receipt of a bill of lading copy.

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of commercial shipments will become more efficient.

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Shipment model

The shipment model is shown in the following diagram. The model starts with the receipt of a shipment, followed by the receipt of a bill of lading, and then the receipt of a bill of lading copy. The model then moves to the receipt of a bill of lading copy, followed by the receipt of a bill of lading copy, and then the receipt of a bill of lading copy.

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The NIA Initiative was implemented December 2001 at which time the focus shifted to A/C eManifest and is currently initiated by the A/C Initiative under the Customs Access Plan and the Shared Border Access (SBA) Public Security Anti-terrorism envelope.

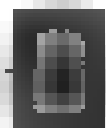
A phased approach has been taken in developing and implementing the A/C Initiative. In Phase I (April 2004) the NIA introduced regulatory requirements and systems functionality to support the electronic pre-arrival receipt and risk assessment of commercial information from marine carriers for commercial goods imported from offshore and transported by marine vessels. In Phase II (December 2005) similar regulatory and systems functionality were introduced to support receipt of commercial information from air carriers importing goods. In addition, the existing requirements for A/C Marine were expanded to include goods imported from the U.S.

Phase III will be implemented under eManifest. eManifest will introduce the regulatory requirements and systems functionality to support electronic receipt and risk assessment of pre-arrival commercial information from highway and rail carriers, freight forwarders, importers and brokers.

Overall Project Scope

A graduated multi-phased approach has been taken in the development and implementation of the eManifest project. The eManifest project consists of three Builds, which are as follows:

- **Build 1** – Components which have already been implemented
 - eManifest Portal & Portal Administration Application
 - Commercial cargo conveyance and house bills information transmitted to the Portal
 - Commercial cargo conveyance and house bills information transmitting via Electronic Data Interchange (EDI)
 - Commercial Document and Duty Management application
 - Operational use of the Data Warehouse in Risk Assessment
 - Testing of the Address Verification Interface (AVI) data preparation, which will be used in Build 2
- **Build 2** – Planned to be implemented by July 2014
 - Electronic pre-arrival submission of importer information (advance trade and release data)
 - Automated risk assessment and Targeting Officer assessment (through new application) of imported cargo, conveyance and house bills in all modes (air, marine, highway, rail)
 - Auto preparation and identity resolution
 - Passage – a new application to use by Border Services Officers to process commercial goods and conveyances at the border
- **Build 3** – Planned to be implemented by December 2014



- Submission of pre-arrival crew information in all modes through E-1
- Submission of pre-arrival crew information in the highway mode through the eManifest Portal
- Automated Risk Assessment and Eargency Driver Assessment of crew information in all modes
- Passage extending to crew
- Third party information used in Risk Assessment
- Submission of manifest in all modes through E-1
- Enhancements to risk assessment applications
- Enhancements to data preparation and identity resolution

eManifest Build Overview

Build 1 of eManifest requires trade partners (TPs) which include carriers, freight forwarder and service providers to transmit electronic advance cargo and conveyance information in the rail and highway modes, and house bills in the air, marine, rail and highway modes to the CBSA according to the timelines outlined in the following table:

Type of Submission	Timeframe
Highway cargo, conveyance and house bill information	A minimum of one hour prior to arrival in Canada
Rail cargo, conveyance and house bill information	A minimum of two hours prior to arrival in Canada
Marine house bill information	Two to four hours prior to loading on the vessel or the last foreign port of loading depending on type and origin of goods
Air house bill information	Four hours prior to arrival in Canada or at departure for flights less than 4 hours in duration

Information Transmission Methods

Two electronic transmission methods are available to TPs:

Electronic Data Interchange (EDI)

Electronic Data Interchange (EDI) is a standards-based computer-to-computer communication method that allows the CBSA and TPs to transmit trade information to the CBSA through one of four options: a value-added network, a third party service provider, the customs Internet gateway (IIG), or by a direct connection to the CBSA.

TPs must register with the CBSA before they can transmit information through EDI. The registration process is paper based. The TP must send a completed registration form available on the CBSA website to the Technical Support Unit (TSU) in Electronic Commerce Unit 10. Upon approval, a technical profile is created in a CBSA internal



system. TCPs send messages to CBSA's test environment and once approved can begin sending information to the live production environment.

Application forms are stored in a locked cabinet and are only accessible by 30 people (15 TSU employees and 15 ECU employees).

The EDI transmission method is available for all eManifest submissions: cargo and conveyance submissions in rail and highway modes and house bill submissions in the rail, highway, air and marine modes.

The personal information required in these submissions is limited to contact information, which has been listed in detail in section 3 of this PIA. The CBSA will not require that crew information be transmitted until Build 3 of the project when it will have the regulatory authority to collect this information; however, the EDI highway requirements for conveyance information do include crew information fields which are marked for future use. TCPs have been advised not to populate these fields, but many are doing so. The crew information is personal and therefore must be managed in accordance with the *Privacy Act*. It is important to note that while the CBSA will not have the regulatory authority to collect crew information electronically in advance in the marine, rail, and highway modes until 2015, the CBSA does have the authority to collect this information upon arrival.

Information transmitted through EDI is processed by a legacy system called the Customs Electronic Commerce Platform (CECP) for basic syntax validation. If syntax errors are found, the information is sent back to the client. If no errors are found, the information (with the exception of unsolicited crew information) is passed onto the Accelerated Commercial Release Operations Support System (ACROSS) for business validation.

Information received by the CECP can be viewed in the CECP system for client support or system administration purposes. These employees all have enhanced reliability security screenings. Access to the information within the CECP itself is not logged, but the CECP does not have the functionality to support searches by field, preventing specific personal information retrieval. At the end of the day, the information is transferred to a tape where it is stored in a locked room for 7 years, as part of a larger group of information elements which it cannot be separated from. CBSA employees can access the tape through sign in and approval.

CECP is enterprise infrastructure, which is used across multiple business lines, one of which is eManifest. The agency's long term vision is to replace this aging technology with updated infrastructure for the protection of personal information under the *Privacy Act*.

2. eManifest Portal

An alternate transmission method is the eManifest Portal (Portal), a secure web-based information transmission environment developed by the CBSA to allow highway carriers to transmit their eManifest trade information to the CBSA electronically via the Internet. The eManifest Portal consists of two components: the Portal Application interfacing with the TCPs and the Portal Administration component interfacing with internal employees.

Portal Application

Highway carriers and freight forwarders in all modes use the Portal to transmit pre-arrival information, edit their submissions and check the status of their submissions. When air cargo arrives in Canada on a highway conveyance, referred to as a flying track scenario, air carriers submit highway conveyance documents through the Portal. Warehouse Operators and Brokers can also use the Portal to view Manifest Forwards (see notices section below for more information). The Portal allows the user to save trade documents as drafts, retrieve, cancel or submit trade documents and edit submitted trade documents.

The eManifest Portal further enables users to view, change, amend, cancel and verify the status of trade documents submitted through EDI. Users can obtain a status history and details regarding submitted trade documents.

Syntax checks are completed in the Portal itself. The Commercial Trade Service (CTS) responds to the eManifest Portal application requests to submit and retrieve trade documents in XML format for authenticated and authorized Portal users. The information is then sent to ACROSS for business validation.

Both internal and external access to the Portal Application is tracked and logged.

Portal Registration Process

Similar to the EDI process, Portal users must register with the CBSA and have a valid user account. The registration process requires company and personal information related to the user and acceptance of terms of use. The Portal retains the registration information, including limited personal information and shared secrets, in order to identify and authenticate users.

Highway carriers must have a valid carrier code and a Shared Secret issued by the CBSA to register for an eManifest Portal Business Account.

Shared Secret

A Shared Secret is a temporary access code that a business will require to register for the eManifest Portal the first time. It will be issued to the authorized representative of the businesses that request access to the eManifest Portal and have a valid CBSA-issued carrier code. The Shared Secret will be used to authenticate and validate a highway carrier company when creating an eManifest Portal Business Account. Only the CBSA and the authorized representative of the company have access to this information. Third parties do not have access to this information.

Cyber authentication

The Government of Canada is giving clients the option of using either a commercial credential service (Sign-In Partner) or a government-issued credential service (GCKey) to access online government services.

- The Sign-In Partner is a credential service offered in collaboration with participating financial institutions. This service allows clients to log in to the eManifest Portal using their established online banking credential.
- GCKey is a service that permits clients to use a unique government-issued credential that protects their communications with online government programs and services such as the eManifest Portal.

Portal User Account

An eManifest Portal User Account is a standard way for all users to establish their identity in the eManifest Portal. All users of the Portal must create an eManifest Portal User Account. To create User Accounts, clients will be required to log on to the Portal with their Cyber Authentication Credential and accept the Portal Terms and Conditions. The clients will need to provide personal information about themselves and their user preferences. The User Account will be created and a User Reference Number (URN) will be system-generated. The URN will be uniquely associated with the Portal User Account, and therefore the registrant.

Portal Business Account

A Portal Business Account is an area in the eManifest Portal dedicated to individual highway carrier companies to conduct secure information transmissions with the CBSA. Portal Business Accounts are managed by Account Owners who are authorized representatives of a highway carrier. To create a Business Account in the Portal, the carrier must provide a valid CBSA-issued highway carrier code and Shared Secret. A carrier code is a 4-character identifier issued by the CBSA to carrier companies. This is part of a pre-existing program activity and is outside the scope of eManifest. The issuance of the Shared Secret (described above) is new, and is the result of the implementation of the eManifest Portal registration requirements. Individuals will be required to provide personal information and the Business Account will be created (for a comprehensive list of registration information please see Section 3). The Account Owner may add additional users to the Business Account and assign them a role. To do this, the Account Owner must provide the designated user's URN, family name and email address, which must be obtained directly from the individual user.

Portal Administration Application

This component allows the Portal Administrators to provide client support and maintain the health and continued operation of the Portal. The Portal Administrators have the ability to monitor and view the details of all Portal Business Accounts. In order to ensure the health of the Portal and assist users, approximately 30 Portal Administrators are able to review and access all user profiles and preferences. The business information will always be displayed with the option of viewing additional details, such as notes,

attachments, event history and Portal users associated with the selected Portal Business Account.

Information Validation

ACROSS receives the trade information submitted through EDI or Portal, stores the information and validates business rules e.g. confirms the carrier code is valid, that province codes submitted in address fields are actual provinces.

ACROSS is a legacy system and is not a component of eManifest. Users must login with an assigned ID and password in order to access the system and this access is tracked and logged.

As mentioned previously unsolicited crew information is not stored in ACROSS.

A new application called Commercial Document and Entity Management (CDEM), will be replacing some ACROSS functionalities by the end of Build 2. It is now being established for that future purpose, and will be in production as of March 2014. CDEM is an application that owns, manages, processes, and queries all commercial documents. CDEM will store multiple versions of these documents for use by various project components.

eManifest is being implemented incrementally, and until CDEM is fully operational and other new eManifest risk assessment components are implemented (Build 2), ACROSS and CDEM will be run in parallel. For Build 1, only the ACROSS version of the data is being risk assessed, and CDEM is really just being established for its future use in Build 2. More information on CDEM will be provided in the Build 2 PIA, once it is being used for risk assessment. However, it is not a user-facing system and is simply replacing old functionality and will be able to manage various statuses of documents.